
California Environmental Protection Agency



USER'S GUIDE FOR ARB DMS

Version 2.0

3-20-07

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WHAT IS NEW ON THE USER'S GUIDE FOR ARB DMS VERSION 2.0

WHAT'S NEW IN THE VERSION 2.0 OF THIS ARB DMS USER'S GUIDE

1. For the On-Road Heavy Duty (HD) Category the following information was added:
 - Directory Tree Structure
 - Document Types and Metadata
 - Table 5-3 Workflow Templates for On-Road HD Category
2. On-Road Light Duty (LD) Work Flow templates and Metadata were updated to reflect current practice.
3. For the Off-Road Compression-Ignition Engine (OFCI) and Large Spark-Ignition Engine (LSIE) Categories the following information was added:
 - Directory Tree Structure
 - Document Types and Metadata
4. Off Road file naming convention was updated to facilitate its use.
5. Screen pictures were replaced with the new DMS user interface in which:
 - functions and data are organized by tabs
 - navigation is done through the tabs versus a menu
 - there is wider view of the file browser
6. New DMS Features available to manufacturers on OpenEDMS Version 3.7 are compiled in section 7 of this document (7. New DMS Features).

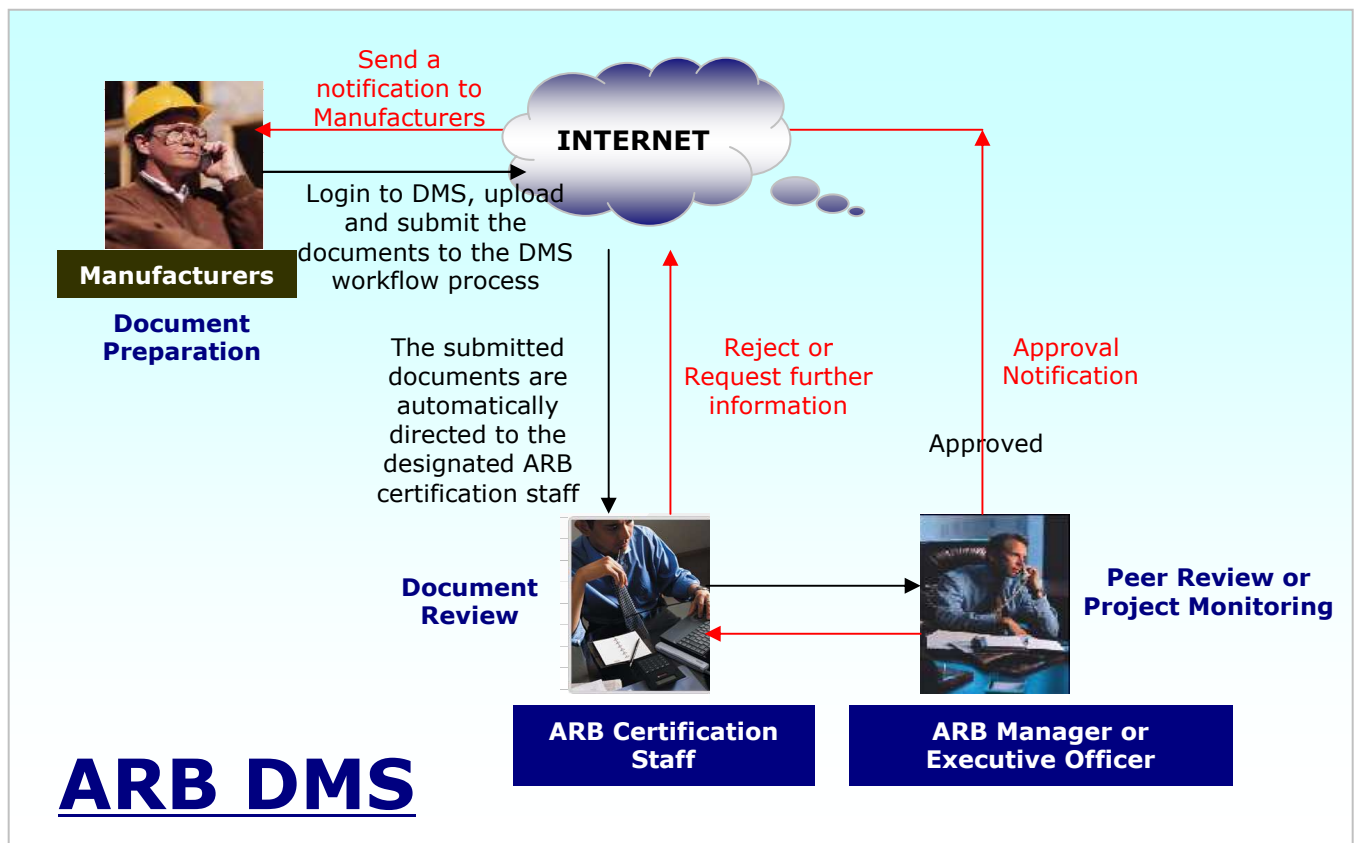
1. INTRODUCTION TO ARB DMS

1. INTRODUCTION TO ARB DMS

To facilitate the submission and review of large volumes of certification documents submitted by both on- and off- road manufacturers, the California Air Resources Board (“**ARB**”) is using **OpenEDMS**, a customized Data Management System (hereinafter called “**DMS**”) from **Altimate Systems Inc.**, for storing and processing supporting certification documentation.

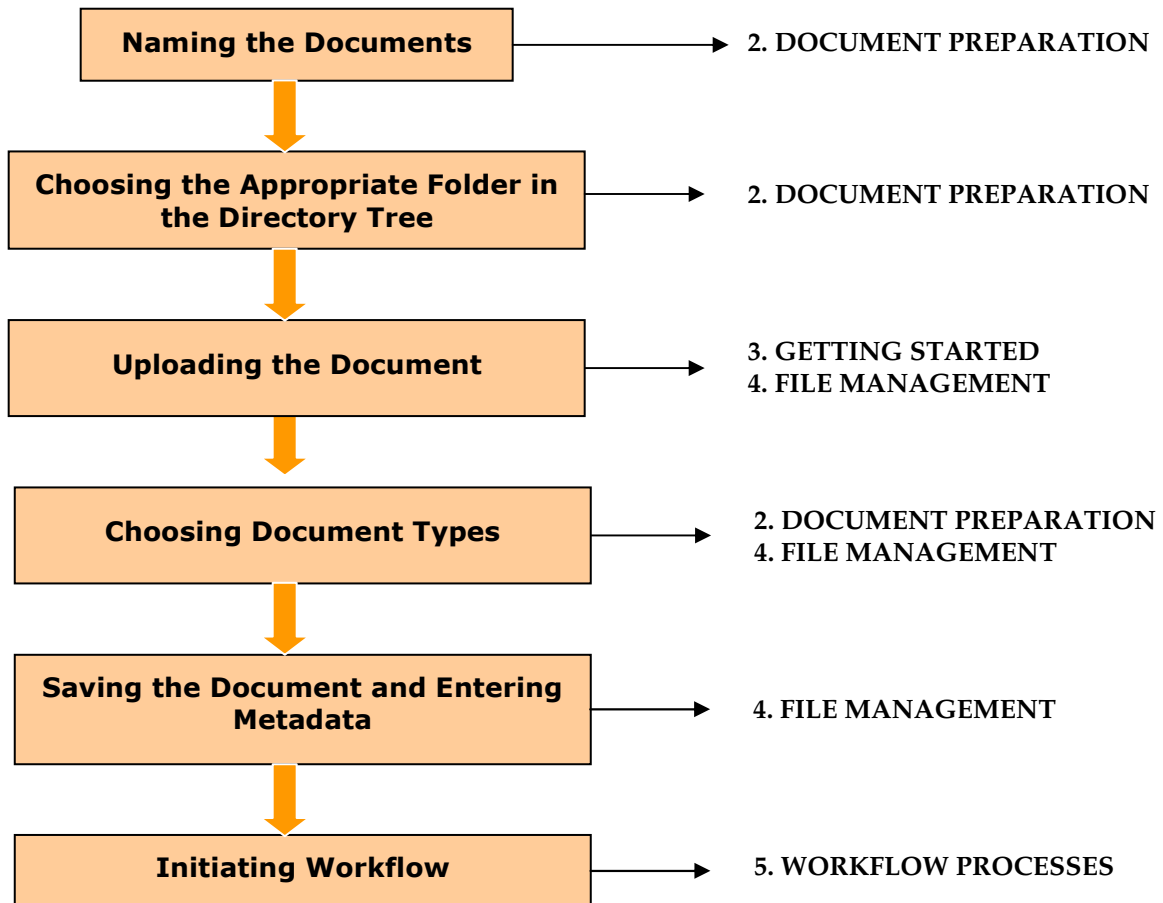
ARB will use the **DMS** to enhance the efficiency of the certification application review process by automatically routing relevant documents directly from manufacturers to designated ARB certification staff. **Figure 1-1** illustrates how authorized manufacturers can upload and submit their certification supporting documents to the ARB DMS electronically from any location at any time through the internet.

Figure 1-1 The ARB DMS Diagram



The contents of this User's Guide are organized and divided into the following sections based on the major steps that manufacturers will follow to submit their documents to the ARB DMS via internet. Steps for DMS submissions and the corresponding sections detailing each step are illustrated in **Figure 1-2**.

Figure 1-2 The Major Steps of Document Submission to the ARB DMS



2. DOCUMENT PREPARATION

2. DOCUMENT PREPARATION

In this section, manufacturers will learn how to name and prepare the documents for submission to the ARB DMS. This includes:

- Electronic File Naming Convention
- Directory Tree Structure
- Document Types and Metadata

2.1 ELECTRONIC FILE NAMING CONVENTION

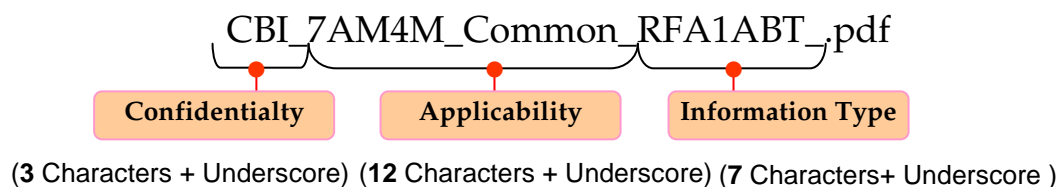
The appropriate naming convention must be used to prepare the documents before uploading to the DMS. ARB's naming convention has been harmonized with the United States Environmental Protection Agency (U.S. EPA) for the motorcycle category with the exception of the version number. The ARB DMS handles version control automatically by advancing the version number with each subsequent, identically named file received in the system. It is important that the version control number used by the U.S. EPA's file naming convention be removed in order for the DMS version control feature to function properly.

Currently, ARB's naming convention is only harmonized with the U.S. EPA in the motorcycle category. However, ARB has applied this convention to all other categories and will work to harmonize the file naming convention with the U.S. EPA in those categories in the future.

ARB's naming convention consists of the three categories listed below:

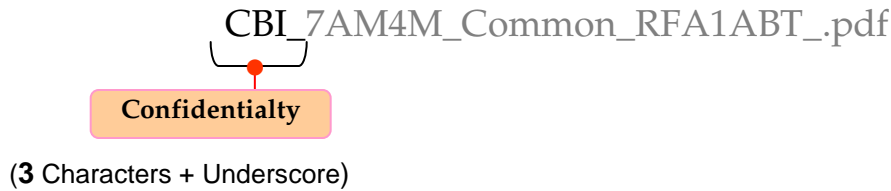
- **Confidentiality:** Figure 2-1
- **Applicability:** Figure 2-2
- **Information Type:** Figure 2-3

Example 2-1 Example of ARB's File Naming Convention



Figures 2-1 through 2-3 provide examples of each element of ARB's naming convention.

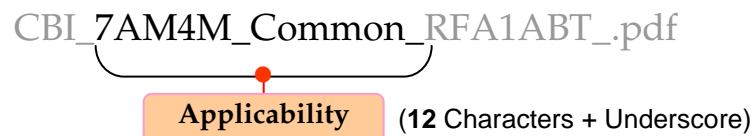
Figure 2-1 ARB’s Electronic File Naming Convention — *Confidentiality*



“Confidentiality” type:

- **CBI_**: Documents with Confidential Business Information with non-confidential information included

Figure 2-2 ARB’s Electronic File Naming Convention — *Applicability*

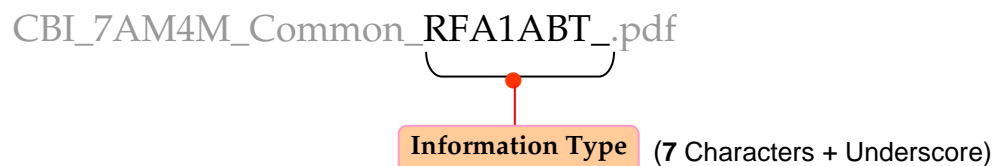


“Applicability” type associates the document with the engine family/test group or evaporative family by showing the family name as illustrated below:

XXXXX_Common_: any documents common to more than one Engine Family/Test Group

“7AM4M_Common_”

Figure 2-3 ARB’s Electronic File Naming Convention — *Information Type*



“Information” type includes the following naming options:

Standalone Documents (To be updated as needed)

- **RFA*XXX_**: Request For Approval,
Where “XXX_” may include:
ABT_: Averaging, Banking, and Trading Plan

Please see Tables A-1 through A-4 in Appendix A for complete descriptions of ARB’s Guidance on Electronic File Naming Convention for on-road and off-road categories.

2.2 DIRECTORY TREE STRUCTURE

The manufacturer's directory trees are organized by file folders depicting the applicable business practice of each category.

Examples of the directory tree structures for various on- and off-road certification categories are presented in **Figures 2-4 through 2-21**. Below please see a summary of figures included in each category.

- On-Road Heavy Duty (LD) Category and associated subdirectories (**Figures 2-4 to 2-8**)
- On-Road Light Duty (HD) Category and associated subdirectories (**Figures 2-9 to 2-12**)
- On-Road Motorcycle Category and associated subdirectories (**Figures 2-13 to 2-17**)
- Off-Road Spark-Ignition Marine Engine (SIME) Category (**Figure 2-18**)
- Off-Road Small Spark-Ignition Engine (SSIE) Category (**Figure 2-19**)
- Off-Road Compression-Ignition Engine (OFCE) Category (**Figure 2-20**)
- Off-Road Large Spark-Ignition Engine (LSIE) Category (**Figure 2-21**)

2.2.1 On-Road Heavy Duty (HD) Category

Figure 2-4 The Directory Structure for On-Road HD Category

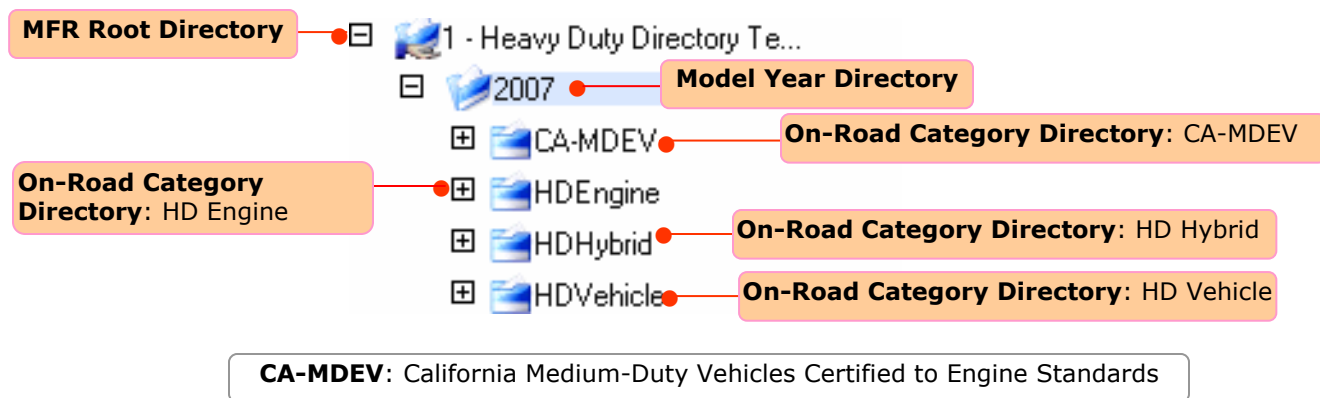


Figure 2-5 The Directory Tree for On-Road Heavy Duty (HD) Category—"CA-MDEV" Subdirectory

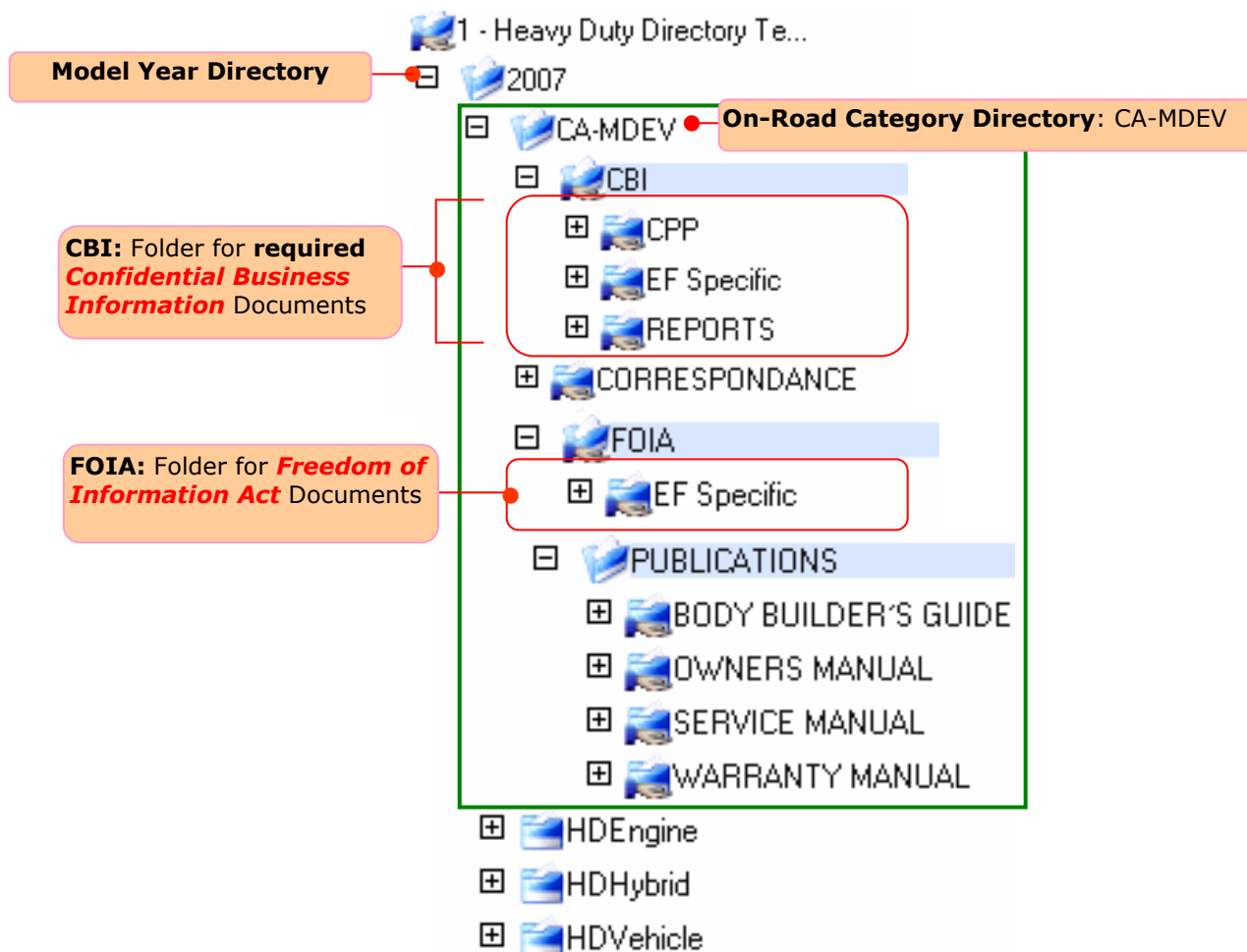


Figure 2-6 The Directory Tree for On-Road Heavy Duty (HD) Category—"HD Engine" Subdirectory

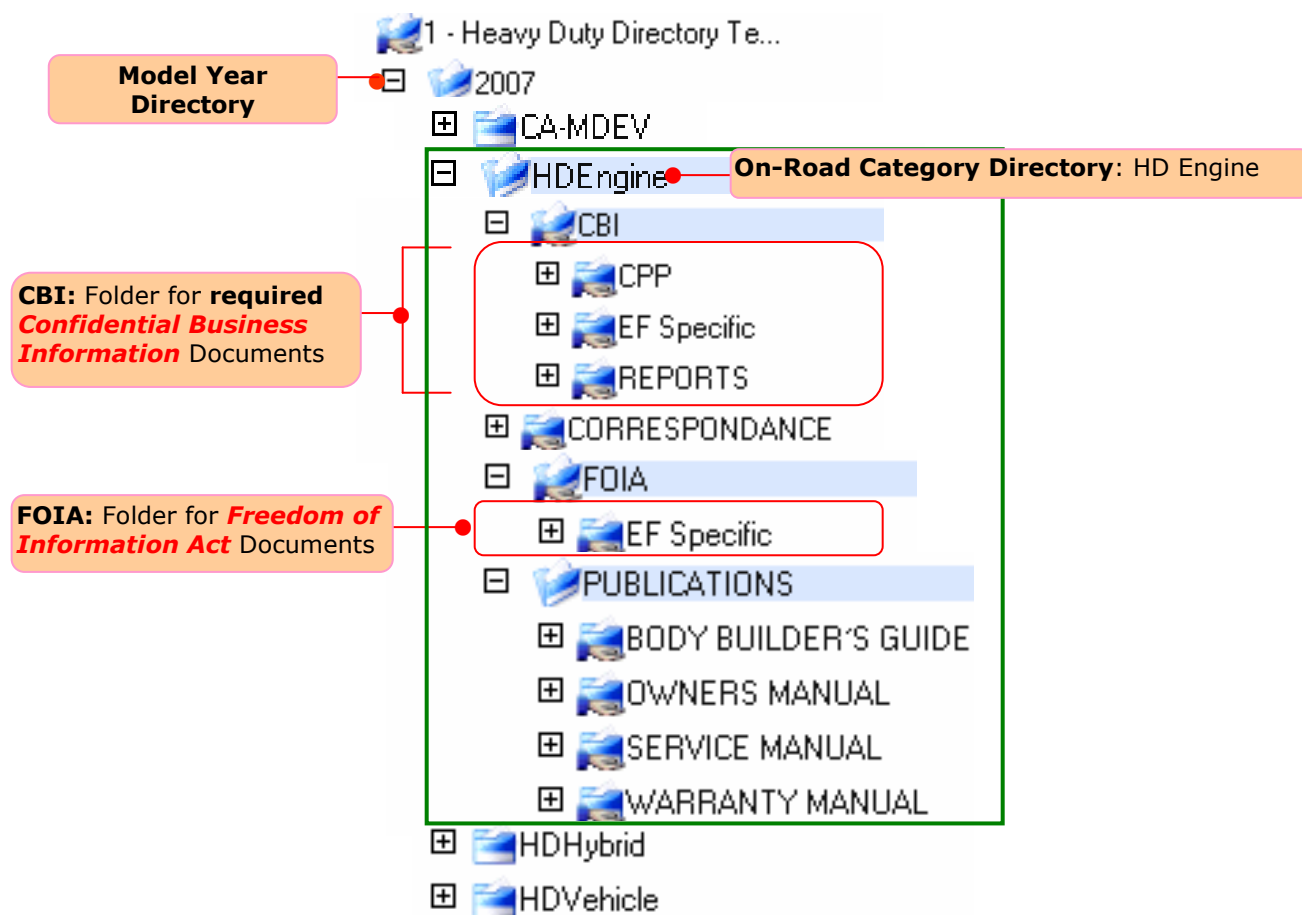


Figure 2-7 The Directory Tree for On-Road Heavy Duty (HD) Category—"HD Hybrid" Subdirectory

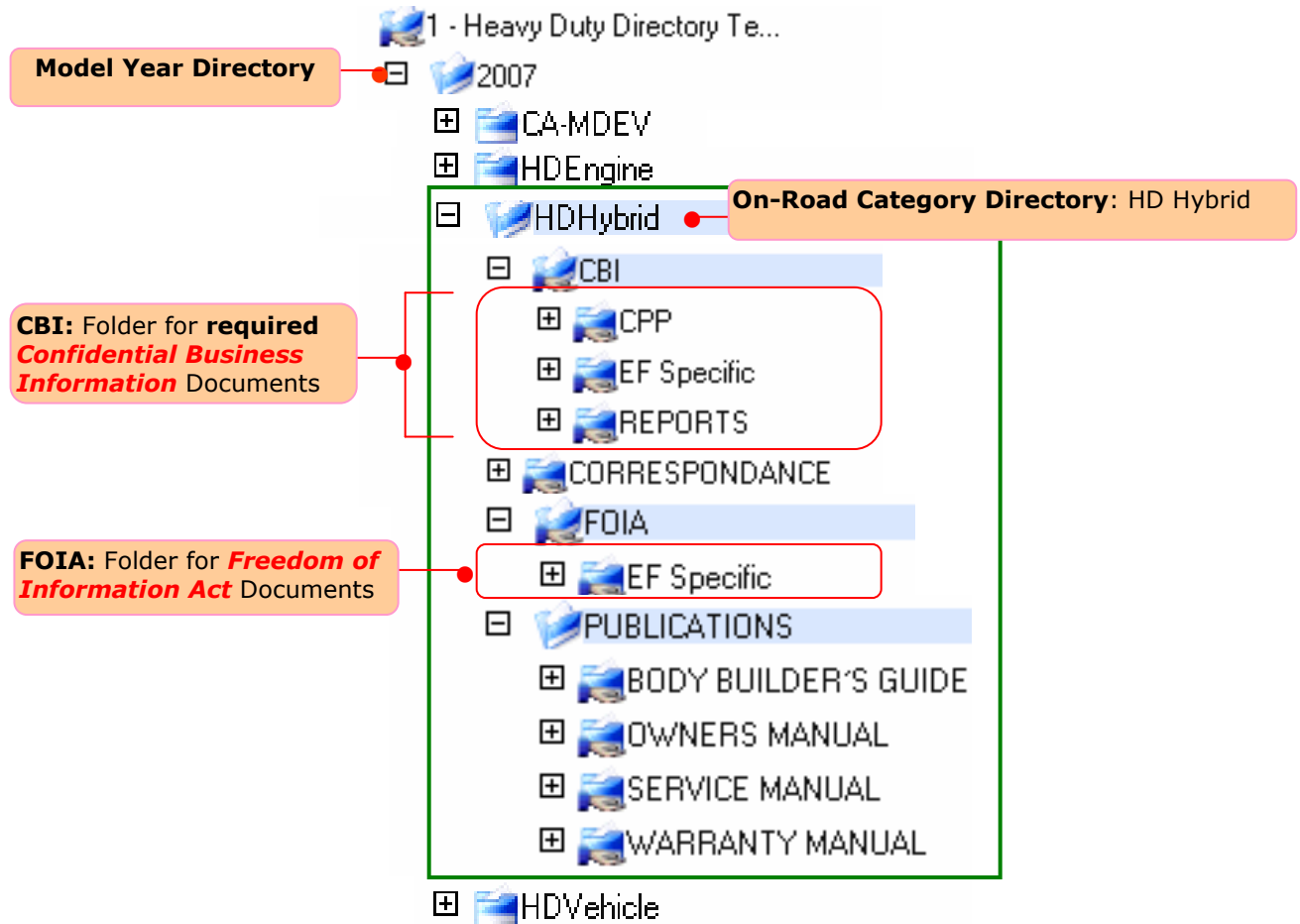
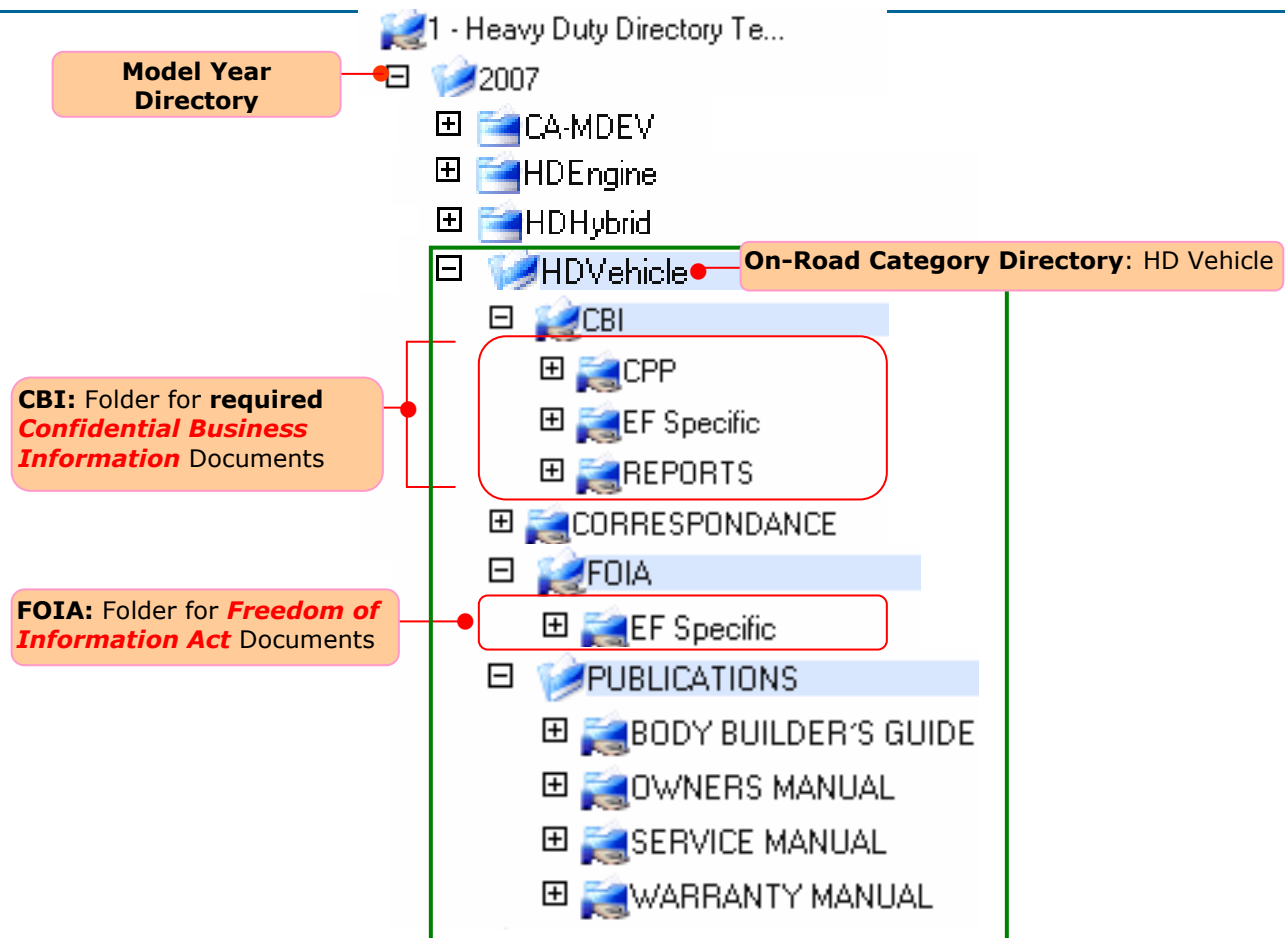


Figure 2-8 The Directory Tree for On-Road Heavy Duty (HD) Category—"HD Vehicle" Subdirectory



2.2.1 On-Road Light Duty (LD) Category

Figure 2-9 The Directory Structure for On-Road LD Category

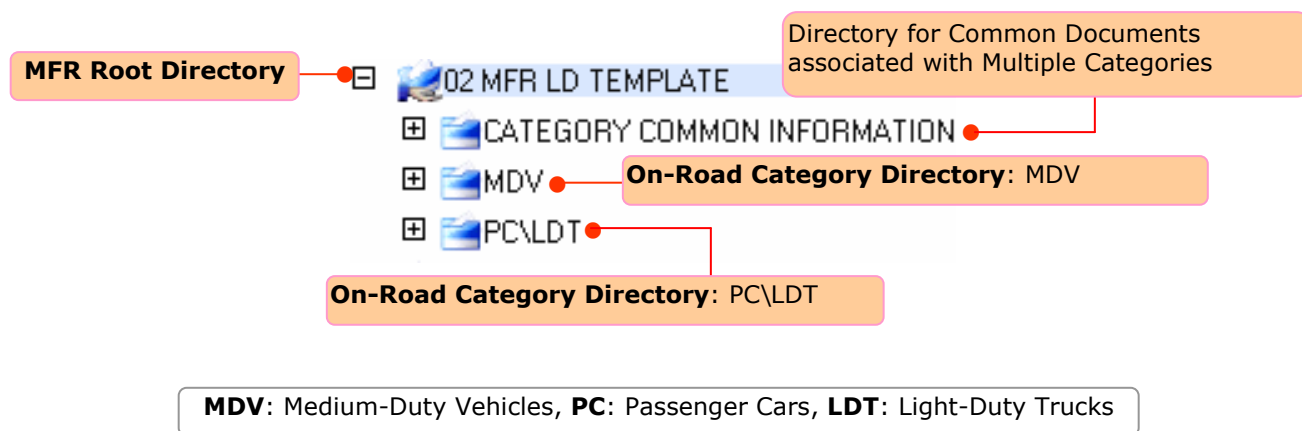


Figure 2-10 The Directory Structure for “CATEGORY COMMON INFORMATION”
Subdirectory of On-Road Light Duty (LD) Category

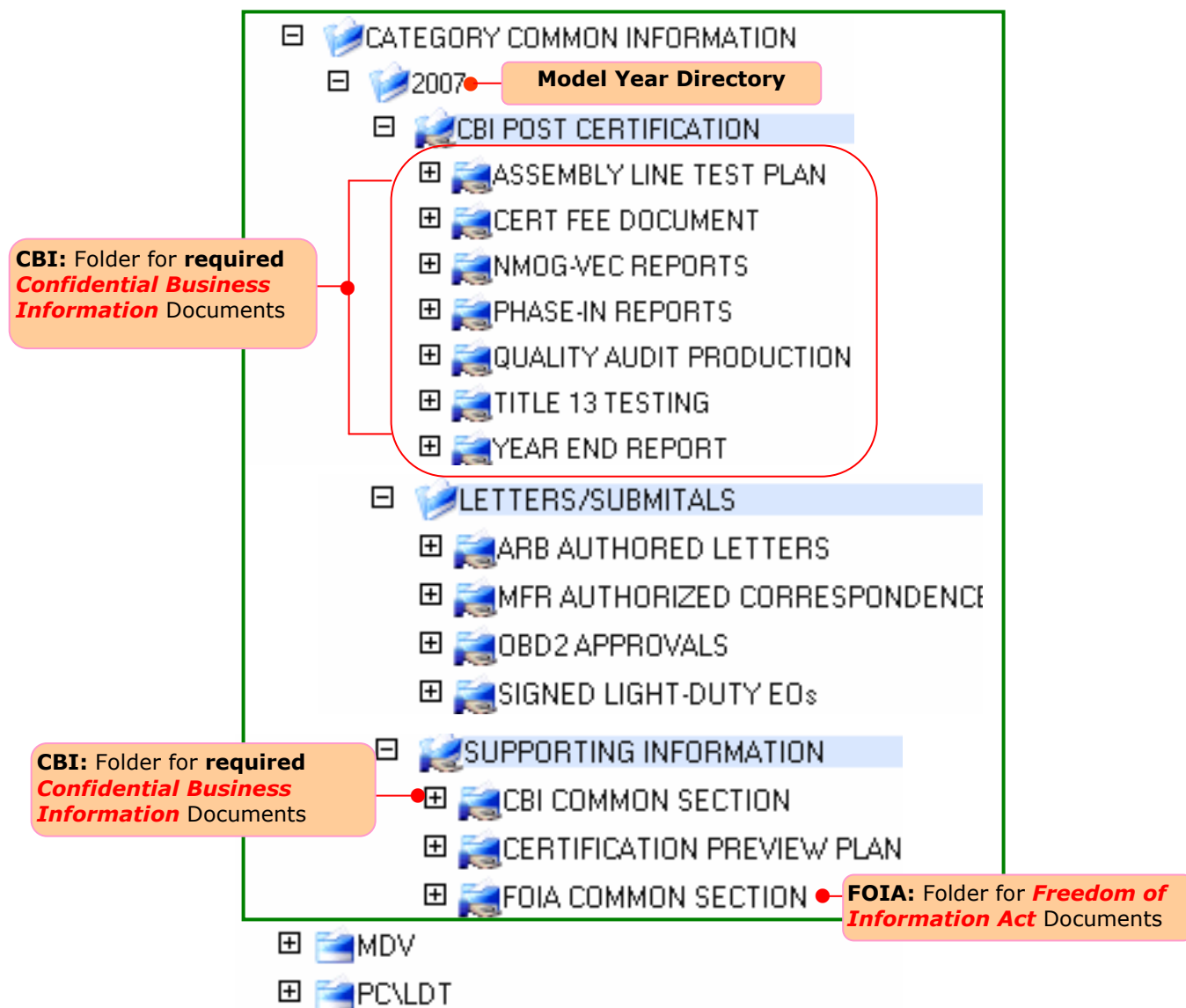


Figure 2-11 The Directory Structure for “MDV” Subdirectory of On-Road Light Duty (LD) Category

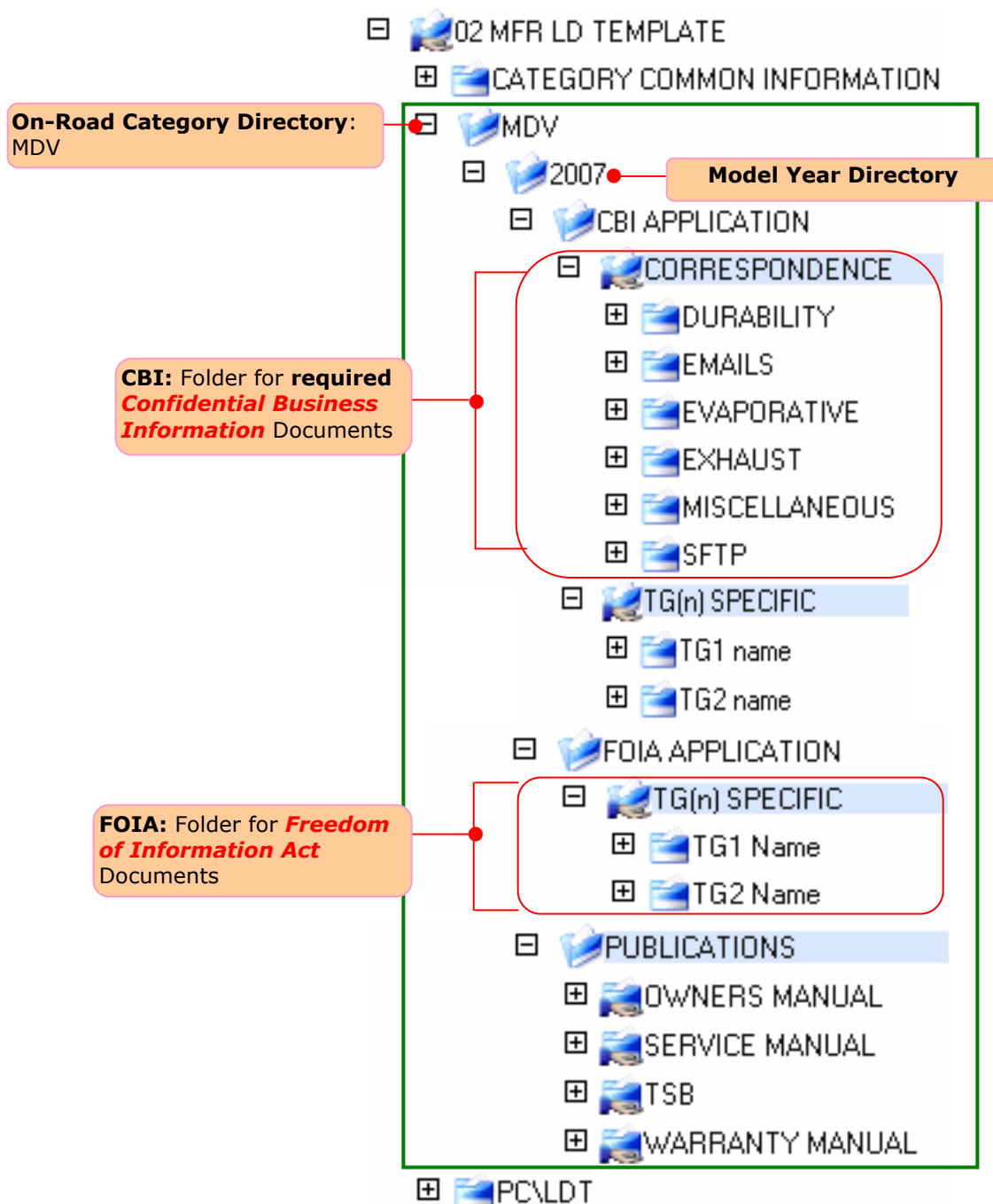
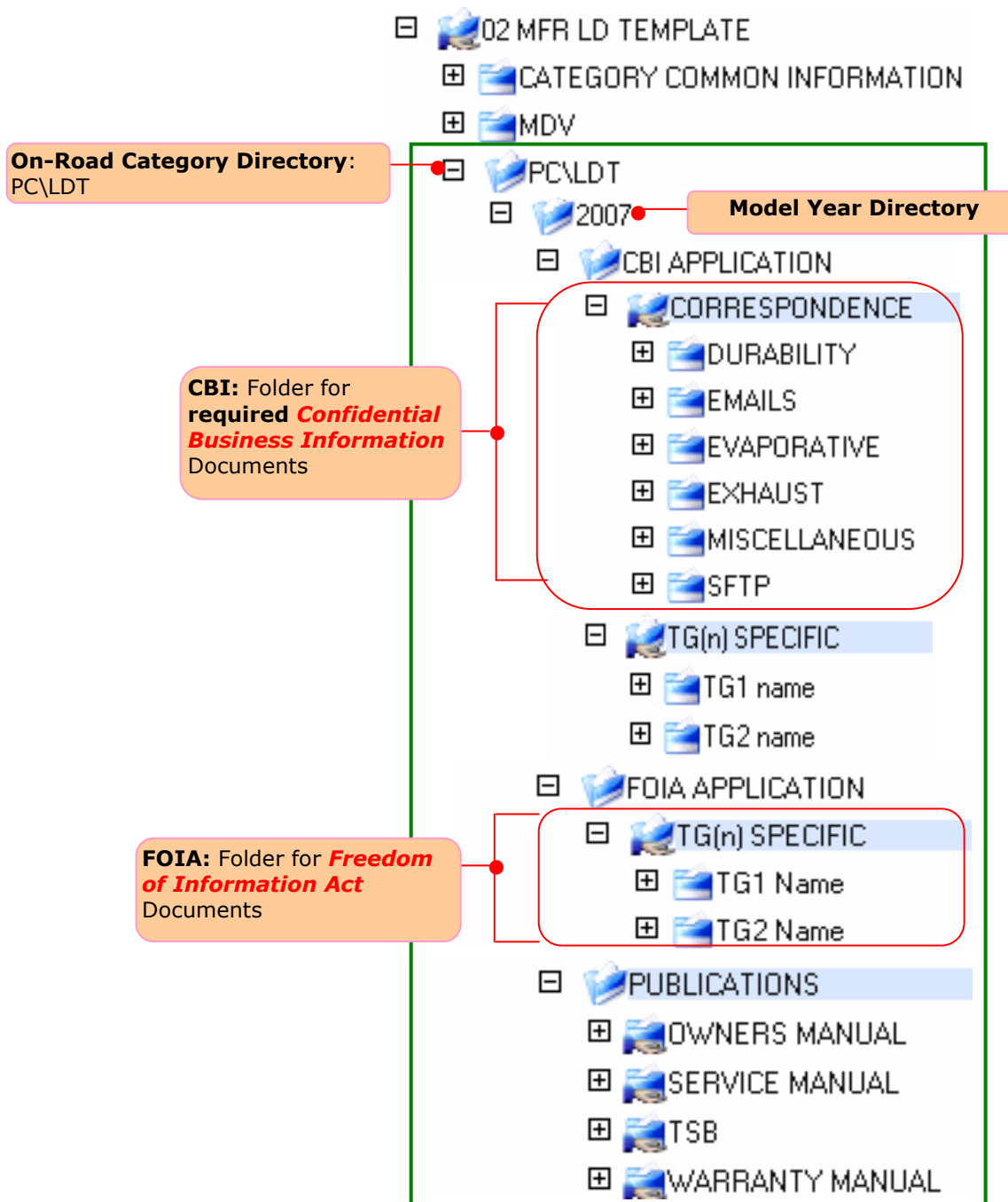
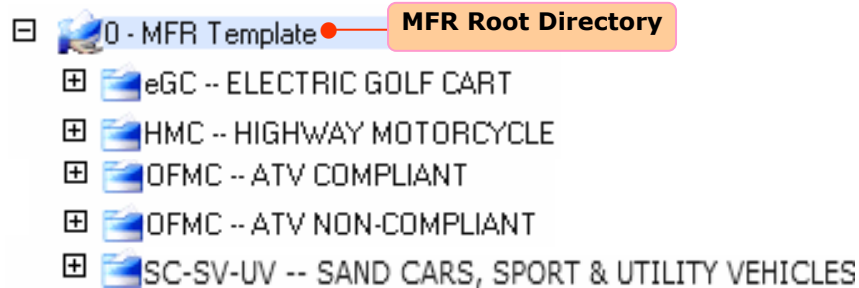


Figure 2-12 The Directory Structure for “PC\LDT” Subdirectory of On-Road Light Duty (LD) Category



2.2.2 On-Road Motorcycle Category

Figure 2-13 The Directory Structure for On-Road Motorcycle Category



eGC: Electric Golf Carts; **HMC:** Highway Motorcycles; **OFMC:** Off-Road Motorcycles; **ATV:** All-terrain Vehicles
SC: Sand Cars (Sand Rails); **SV:** Off-Road Sport Vehicles; **UV:** Off-Road Utility Vehicles

Figure 2-14 The Directory Structure for “eGC” Subdirectory of On-Road Motorcycle Category

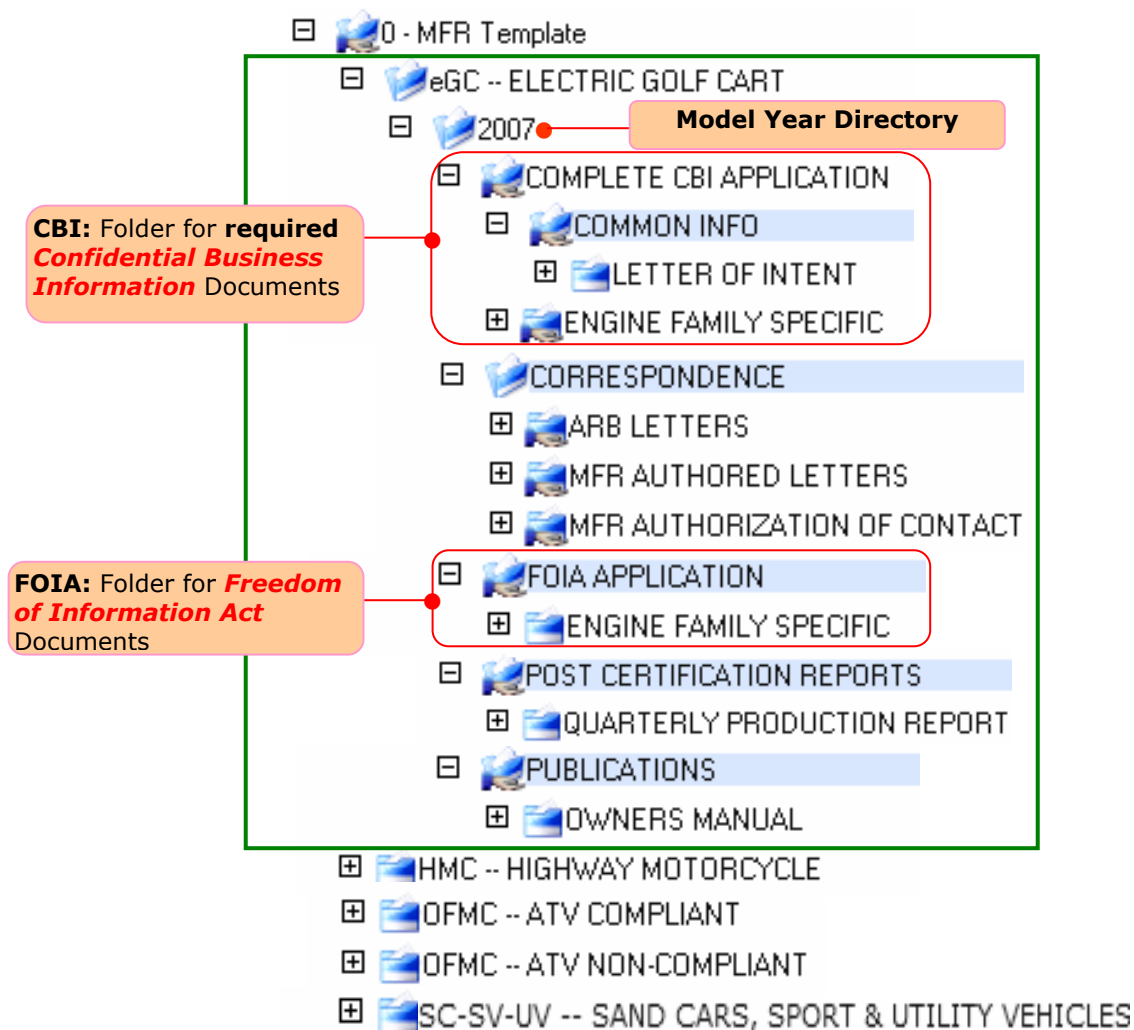


Figure 2-15 The Directory Structure for “HMC” Subdirectory of On-Road Motorcycle Category

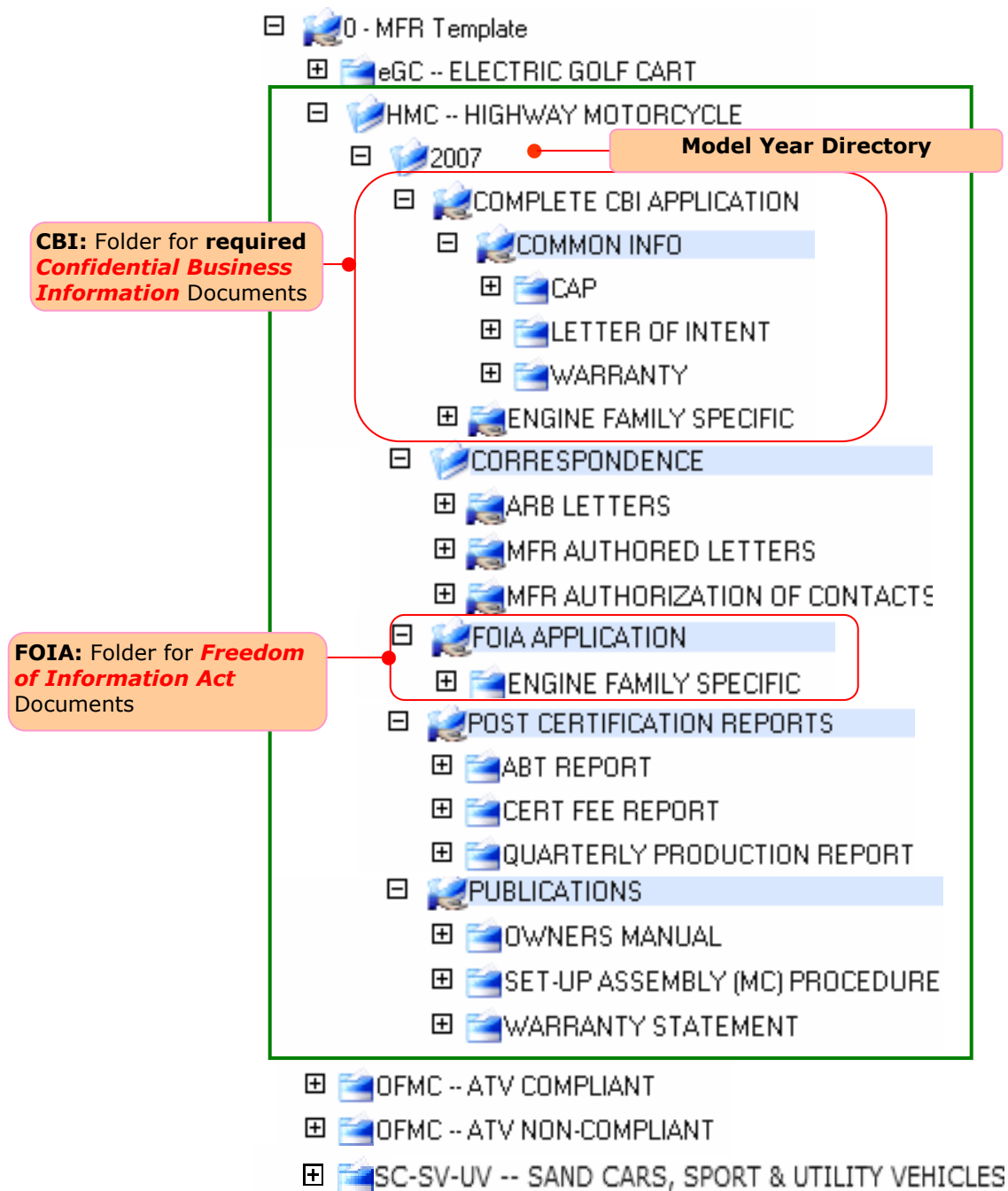


Figure 2-16 The Directory Structure for “OFMC ATV COMPLIANT” Subdirectory of On-Road Motorcycle Category

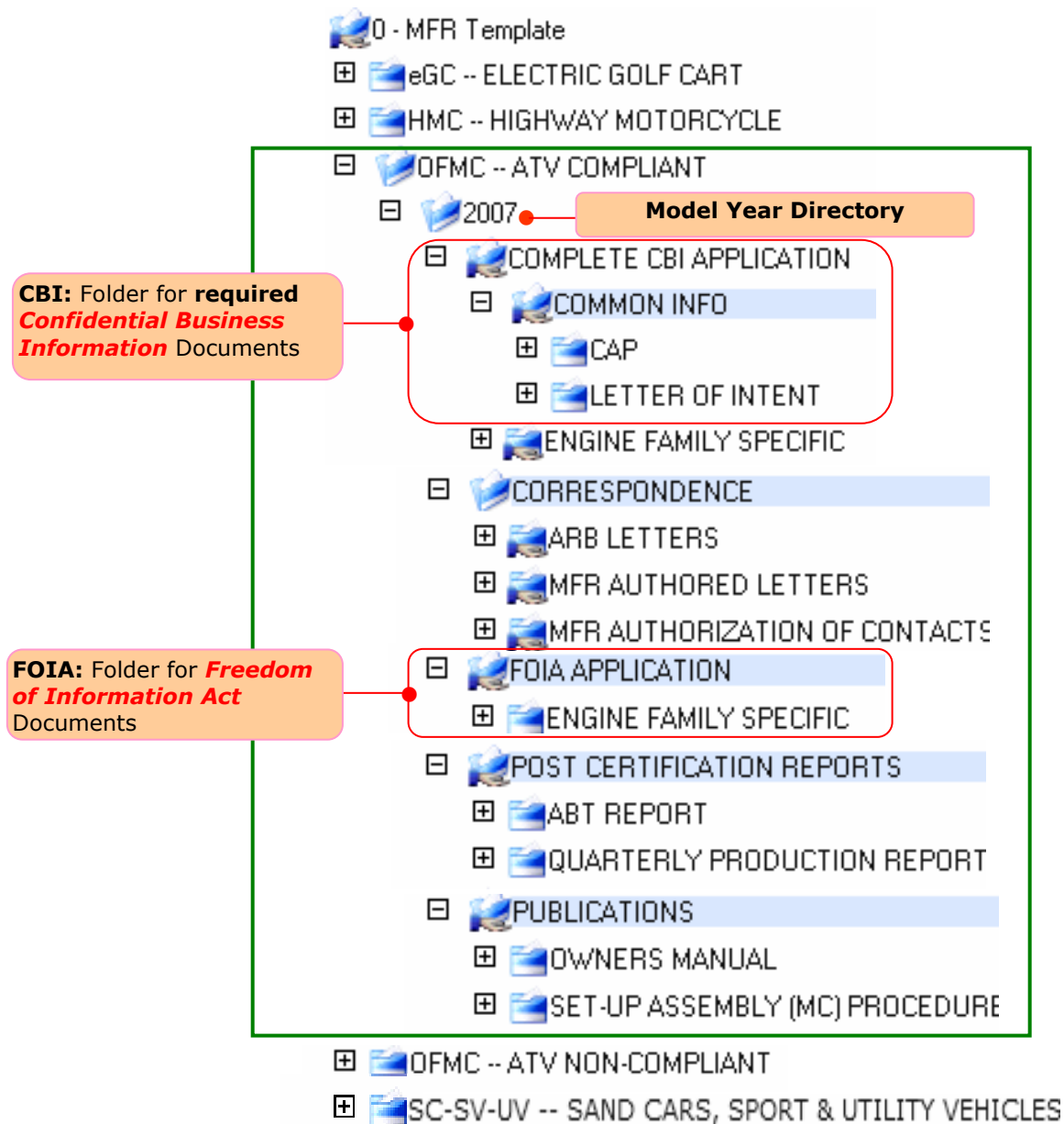
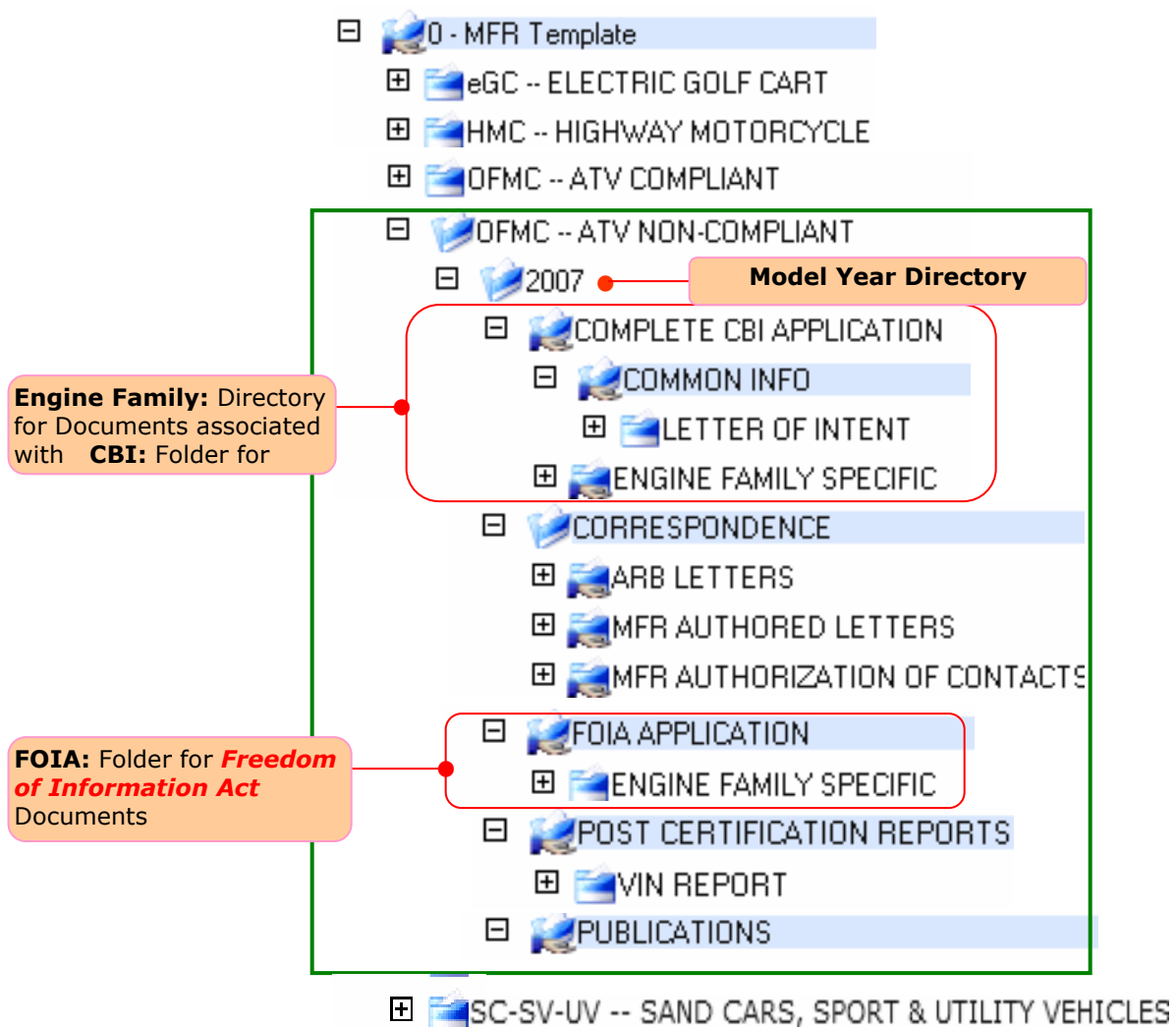


Figure 2-17 The Directory Structure for “OFMC ATV NON-COMPLIANT” Subdirectory of On-Road Motorcycle Category



2.2.3 Off-Road Categories

Figure 2-18 The Directory Structure for Off-Road Spark-Ignition Marine Engine (SIME) Category

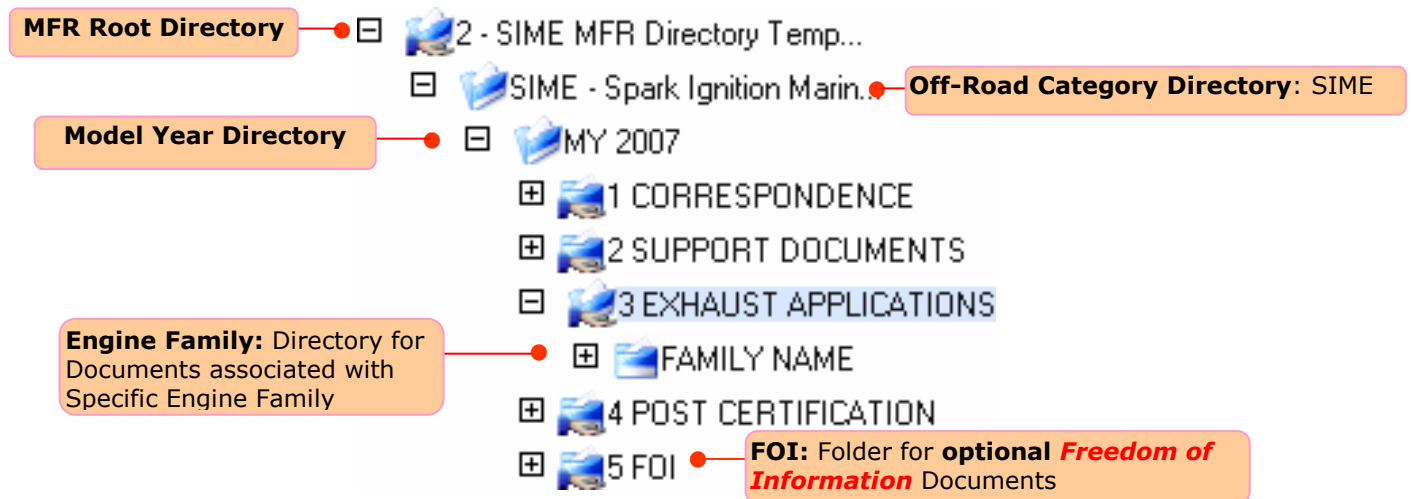


Figure 2-19 The Directory Structure for Off-Road Small Spark-Ignition Engine (SSIE) Category

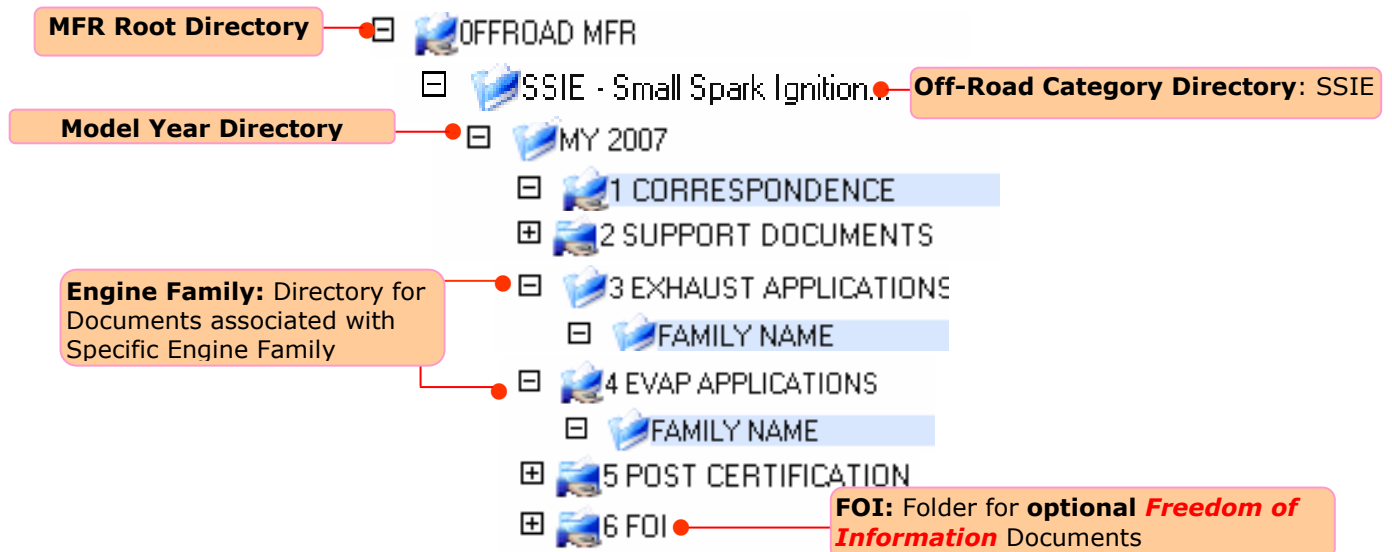


Figure 2-20 The Directory Tree for Off-Road Compression Ignition Engine (OFCI) Category

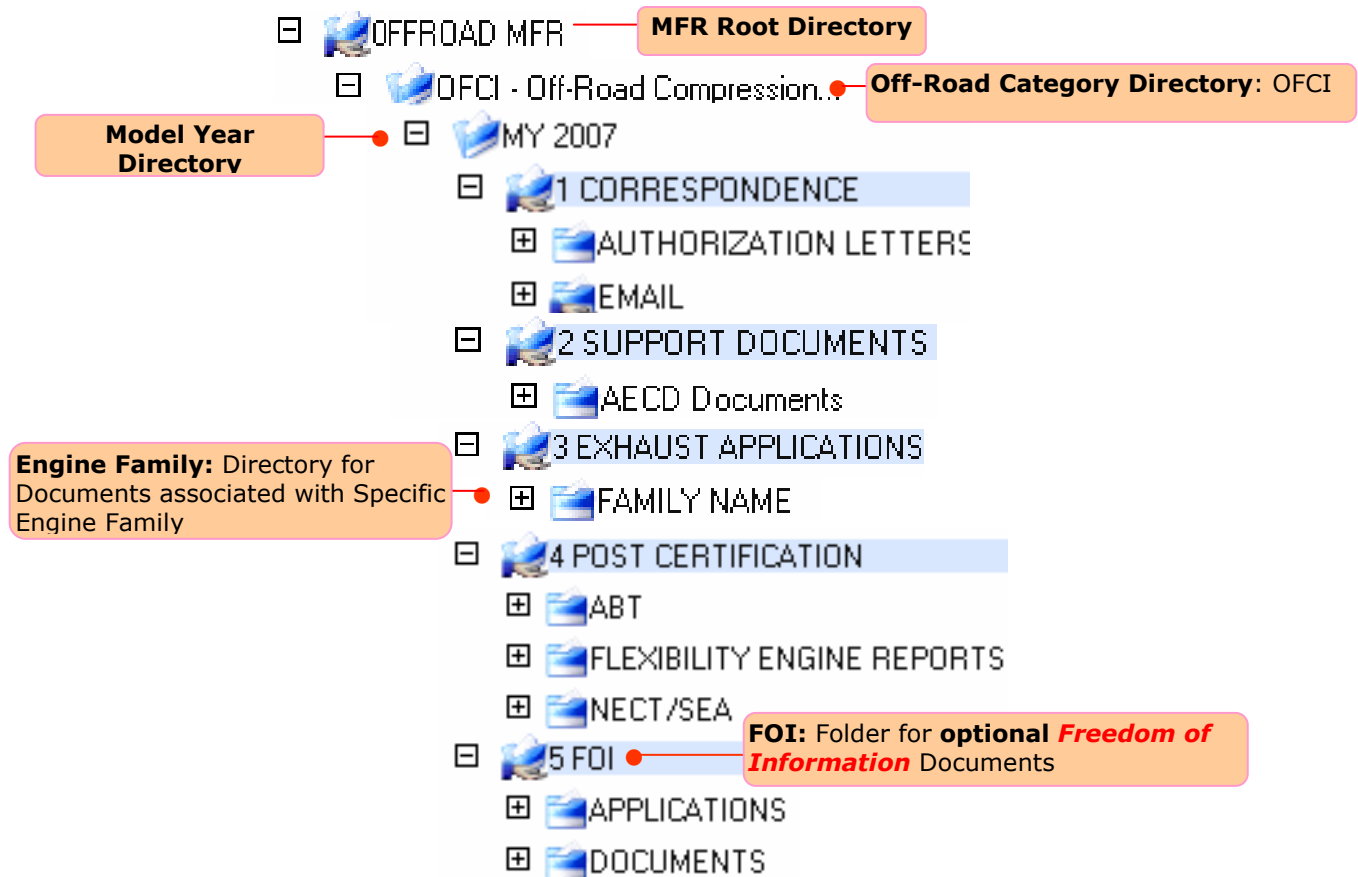
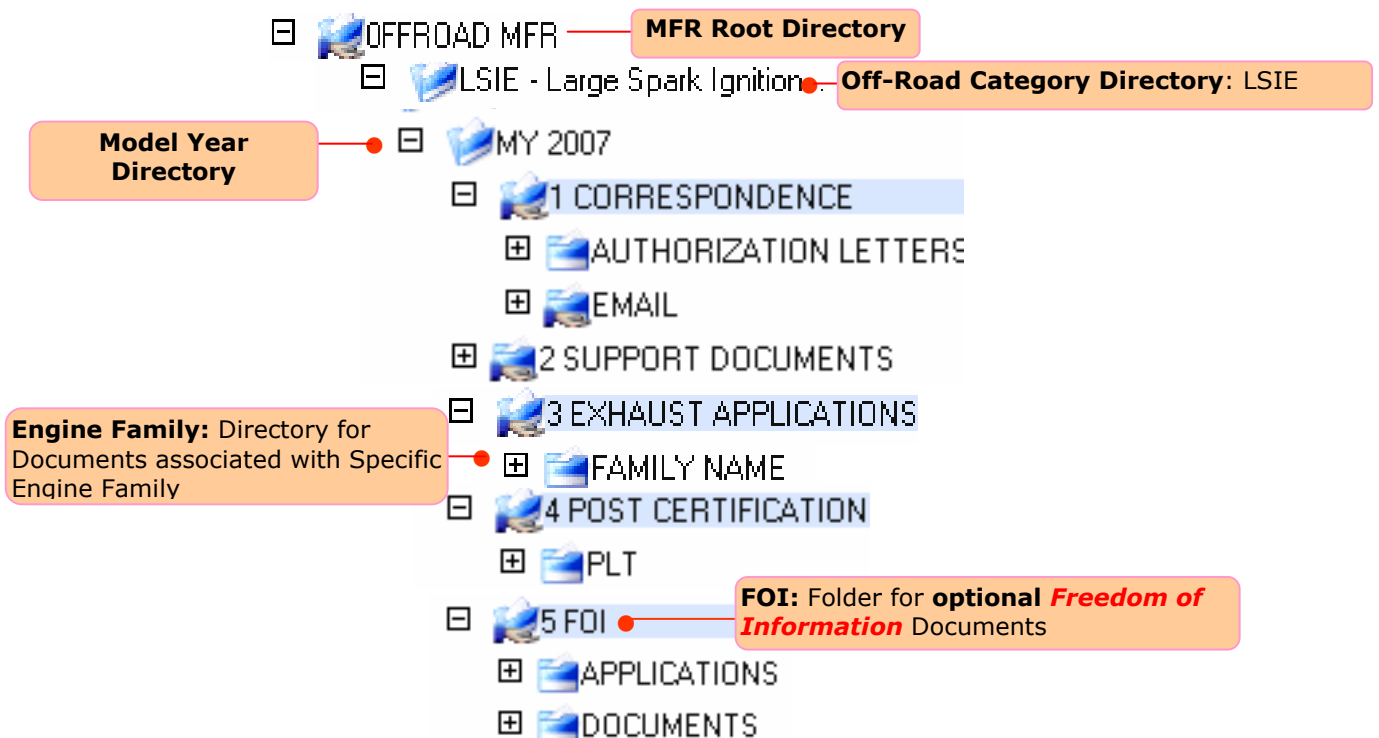


Figure 2-21 The Directory Tree for Off-Road Large Spark-Ignition Engine (LSIE) Category



2.3 DOCUMENT TYPES AND METADATA

When uploading a document to the ARB DMS, manufacturers must choose the correct document type. The document type makes it easy to identify the contents of your uploaded file and to identify the correct workflow process (see Section 5). Documents must be placed in the applicable folders of the directory tree so that an appropriate document type can be selected and the workflow process can function properly. Documents not properly submitted will be deleted and the manufacturer will be required to resubmit the file.

Additionally, after you select a document type in the DMS, you will have to complete the “metadata” attributes applicable to that specific document type. Metadata attributes are unique to each document type and allows the system to identify and locate a document by using specified attributes.

Each distinct document type will be identified by a system-generated **ID** and a unique series of fully searchable, user-defined metadata attributes which can be created and saved in the system. Metadata attributes are an essential component of document management. They not only provide the basis for a document index, but serve as useful search criteria to greatly reduce the margin of unrelated search results.

When conducting an advanced search (see Section 6.4), any number or combination of selected metadata attributes can be used to locate any particular document.

For example, the *SIME Emission Label Format* document type has metadata attributes: *Manufacturer*, *Submit Date*, *Engine Family*, *Approval Number*, *Label Type*, *Category*, and *Cert. Type*.

Figure 2-22 Metadata Attributes Dialog Box

The screenshot shows the 'Metadata' tab of a 'Create File' dialog. On the left, a list of 'Document Class(es)' includes 'Auxiliary Emission Control Devices', 'Corp Avg Plan', 'Emission Durability Plan', 'Emission Warranty Statement', 'Onboard Diagnostics (OBD)', 'Phase-in Plans', and 'Tamper Resistance'. On the right, 'Selected Document Class(es)' shows 'Emission Label Format' selected. Below this, the 'Emission Label Format' metadata form is displayed. It contains several fields: '* Manufacturer: XXXX' (with a red dot and a callout 'ARB assigned manufacturer code'), 'Submit Date: Generated By System', 'Eng Family: 7XXXM.1961WM', 'Approval Num:' (with a callout 'Upon approval, the approval number will be completed by ARB Staff.'), '* Label Type: Engine' (dropdown), '* Category: SIME' (dropdown), and '* Cert. Type: Exhaust' (dropdown). The form also has 'OK' and 'Reset' buttons. At the bottom of the dialog are 'Upload' and 'Back' buttons. Three callout boxes provide additional context: one points to the 'Manufacturer' field, another points to the 'Selected Document Class(es)' list, and a third points to the 'Approval Num' field.

The metadata fields denoted with an asterisk “*” are required. Those fields *must* be completed before the document can be uploaded to the applicable folder in the DMS. However, manufacturers are encouraged to fill in the optional metadata fields to enhance the system’s search results and to maximize the effectiveness of the search engine.

Figures 2-23 through 2-37 list available document types assigned to the folders in the directory tree of various on- and off-road categories. Please follow this guide to upload your documents. Appendix B contains three Tables **B-1** through **B-3** that relate available document types with their associated metadata attributes for on-road and off-road categories.

Below is a summary of the figures included in each category.

- On-Road Heavy Duty (HD) Category and associated subdirectories (**Figures 2-23 to 2-26**)
- On-Road Light Duty (LD) Category and associated subdirectories (**Figures 2-27 to 2-29**)
- On-Road Motorcycle Category and associated subdirectories (**Figures 2-30 to 2-33**)
- Off-Road Spark-Ignition Marine Engine (SIME) Category (**Figures 2-34**)
- Off-Road Small Spark-Ignition Engine (SSIE) Category (**Figures 2-35**)
- Off-Road Compression Ignition Engine (OFCI) Category (**Figures 2-36**)
- Off-Road Large Spark-Ignition Engine (LSIE) Category (**Figures 2-37**)

2.3.1 On-Road HD Category

Figure 2-23 Assigned Document Types for the Folders in the “CA-MDEV” Subdirectory
— On-Road Heavy Duty (HD) Category

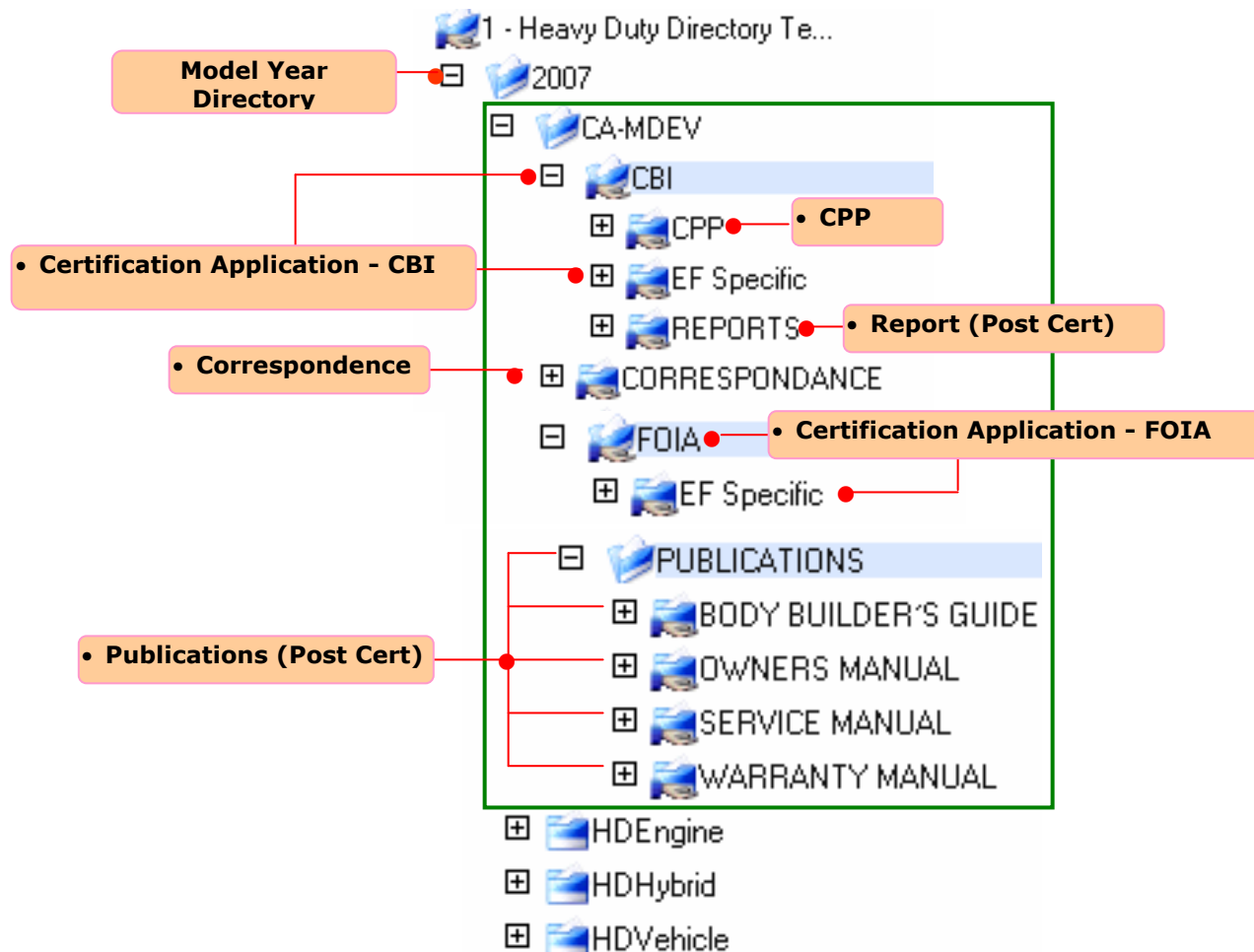


Figure 2-24 Assigned Document Types for the Folders in the “HD Engine” Subdirectory
– On-Road Heavy Duty (HD) Category

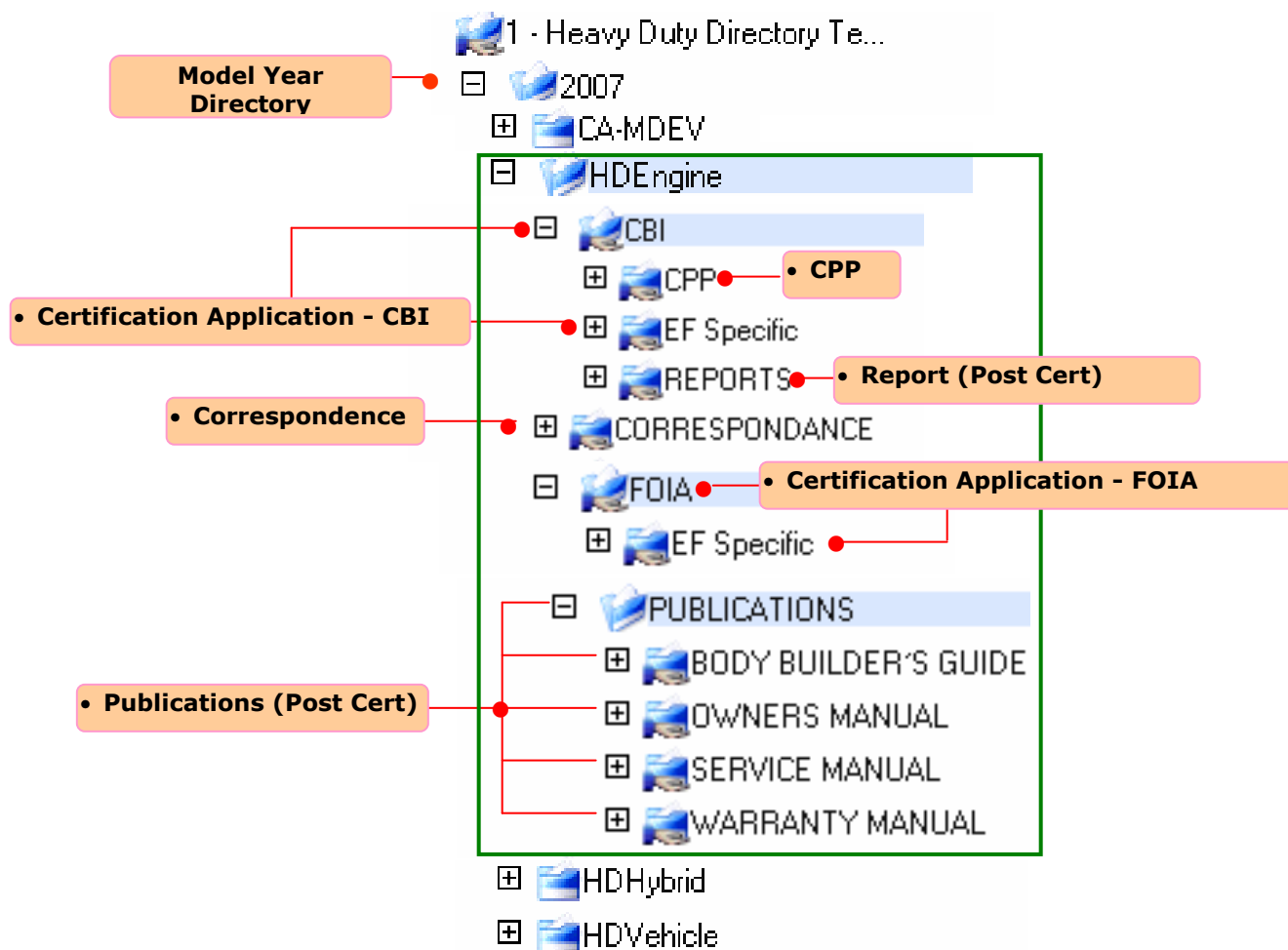
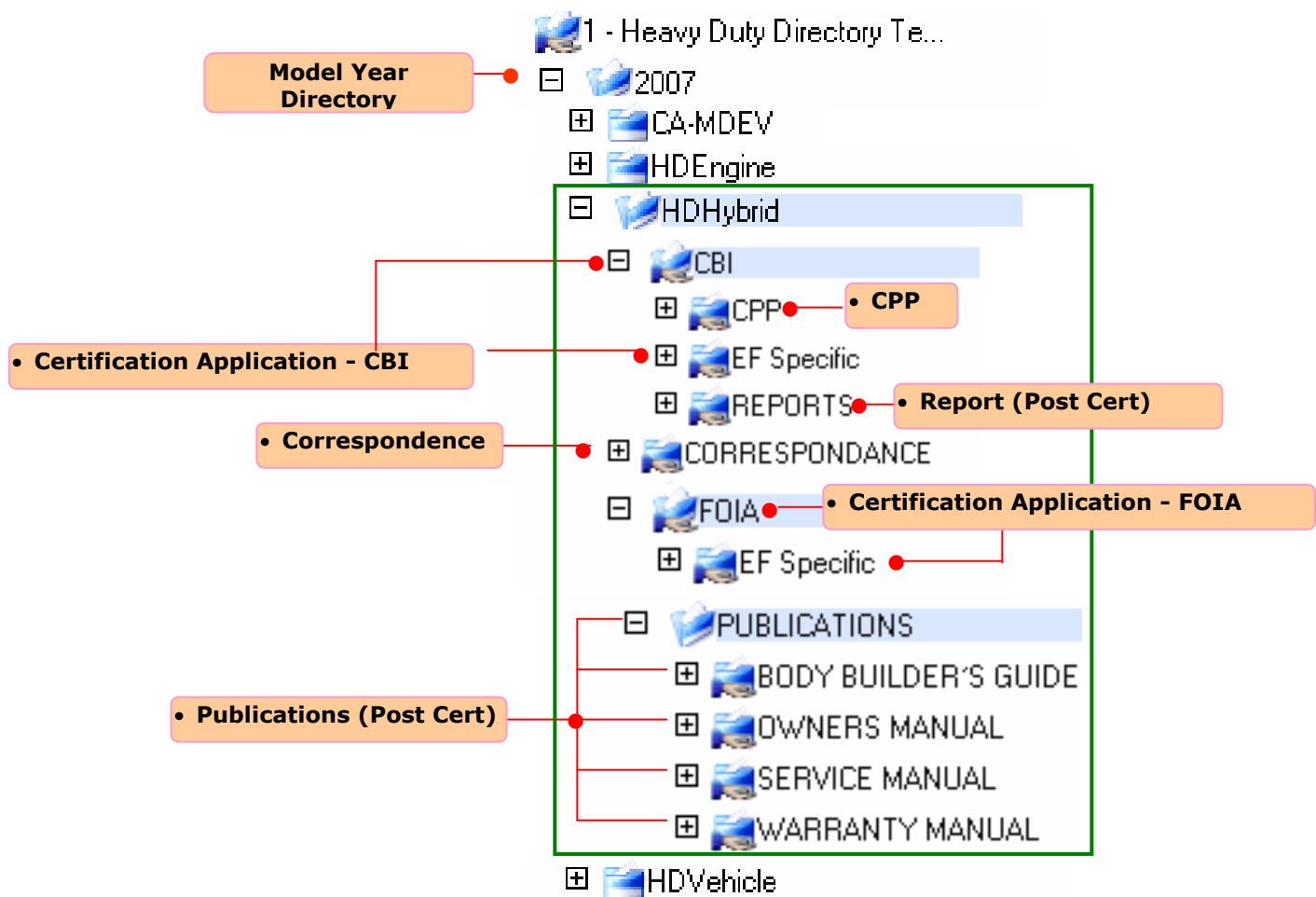
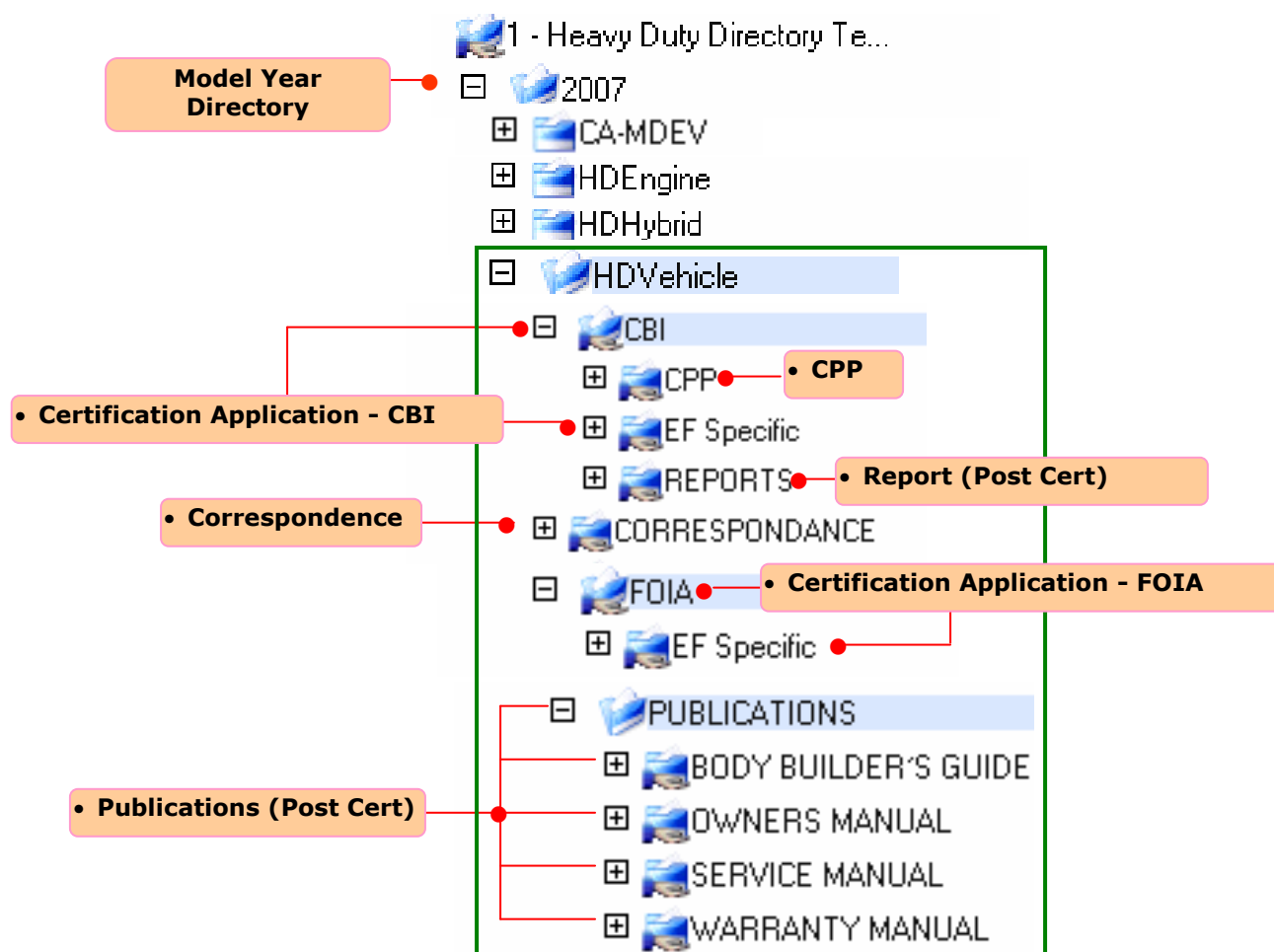


Figure 2-25 Assigned Document Types for the Folders in the “HD Hybrid” Subdirectory
— On-Road Heavy Duty (HD) Category



**Figure 2-26 Assigned Document Types for the Folders in the “HD Vehicle” Subdirectory
— On-Road Heavy Duty (HD) Category**



2.3.2 On-Road LD Category

Figure 2-27 Assigned Document Types for On-Road LD Category

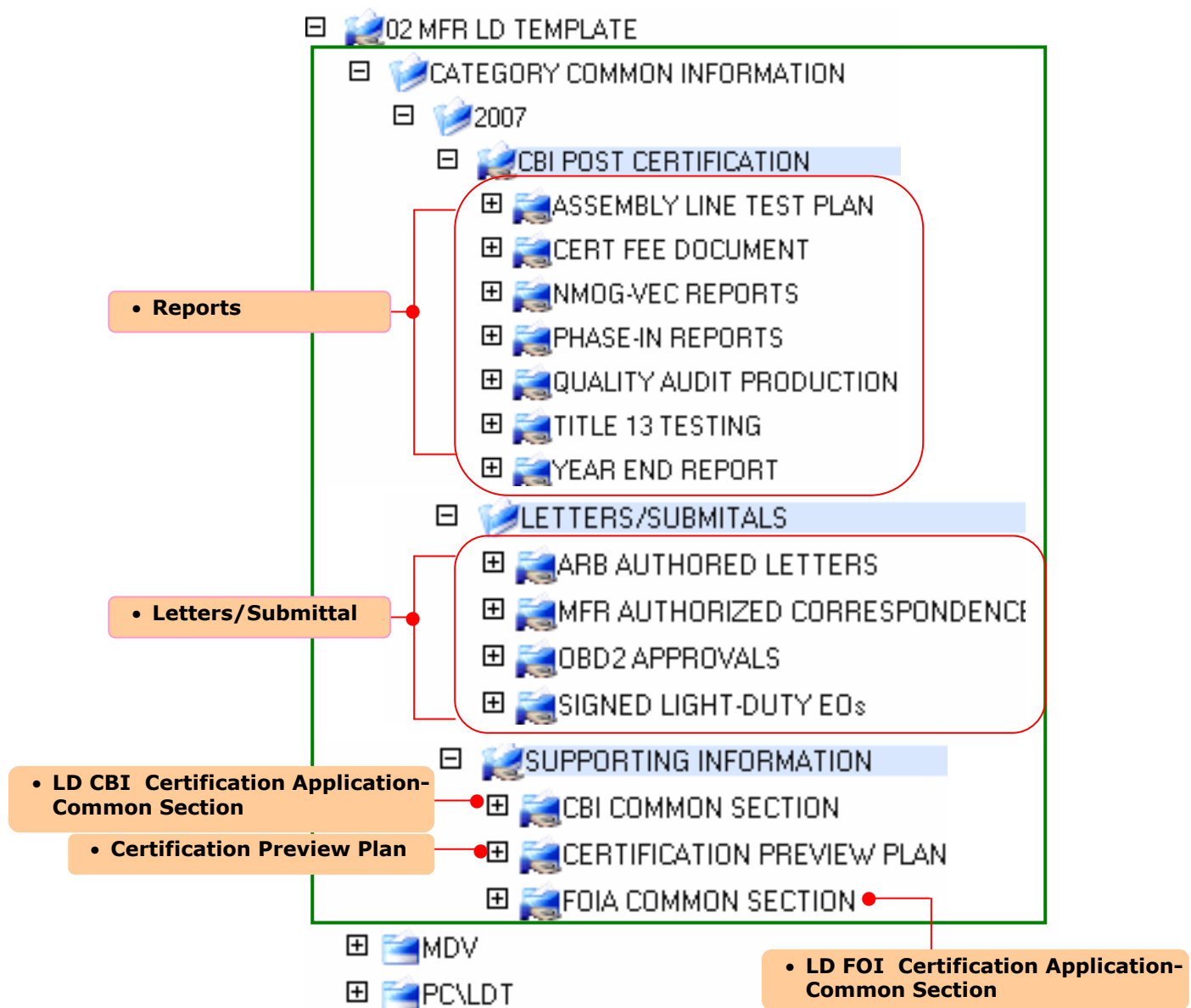


Figure 2-28 On-Road Light Duty (LD) Category – “MDV” Subdirectory and Assigned Document

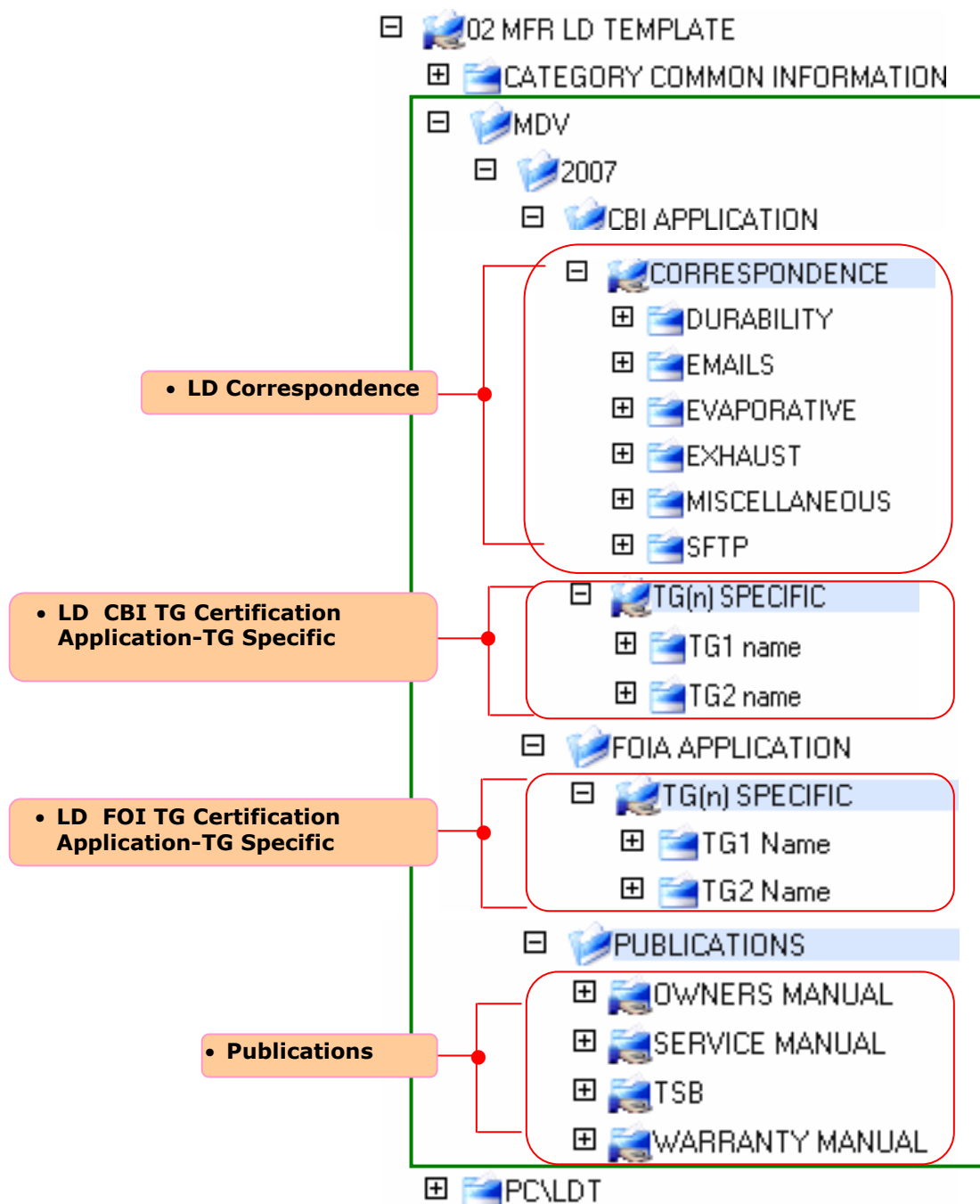
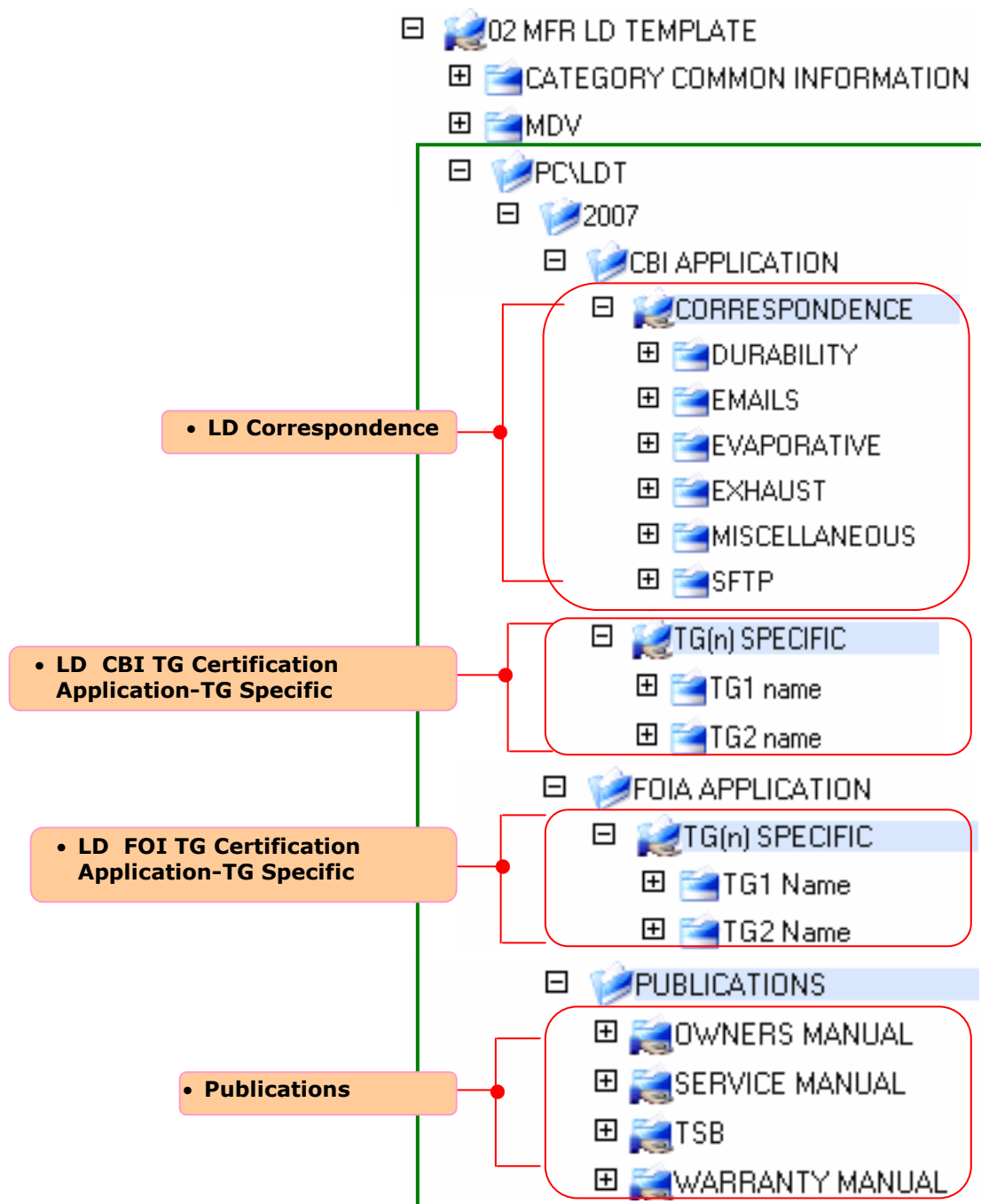


Figure 2-29 On-Road Light Duty (LD) Category – “PC\LDT” Subdirectory and Assigned Document Types



2.3.3 On-Road Motorcycle Category

Figure 2-30 On-Road Motorcycle Category – “Electric Golf Carts” (eGC) Subdirectory and Assigned Document Types

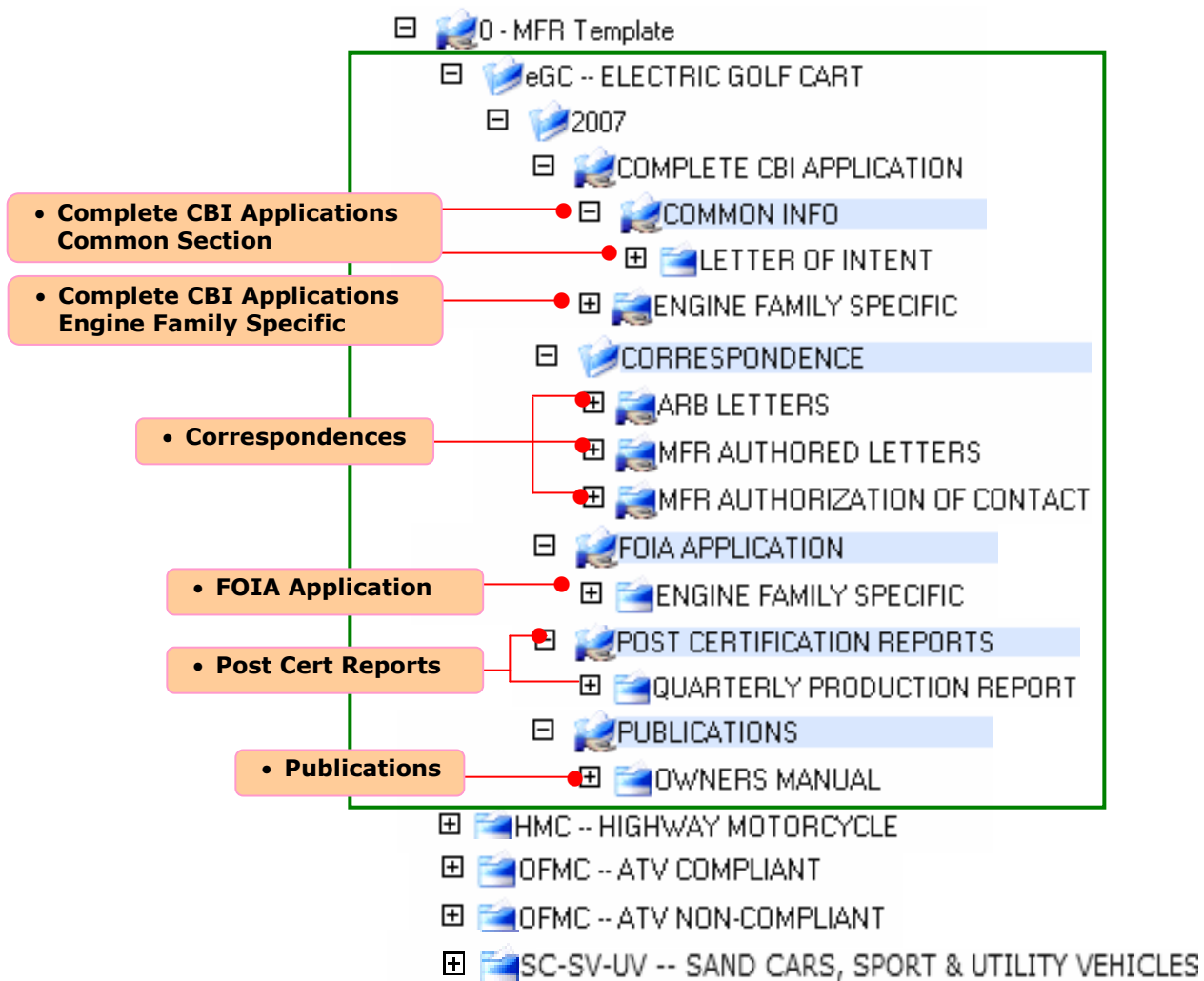


Figure 2-31 On-Road Motorcycle Category – “HMC” Subdirectory and Assigned Document Types

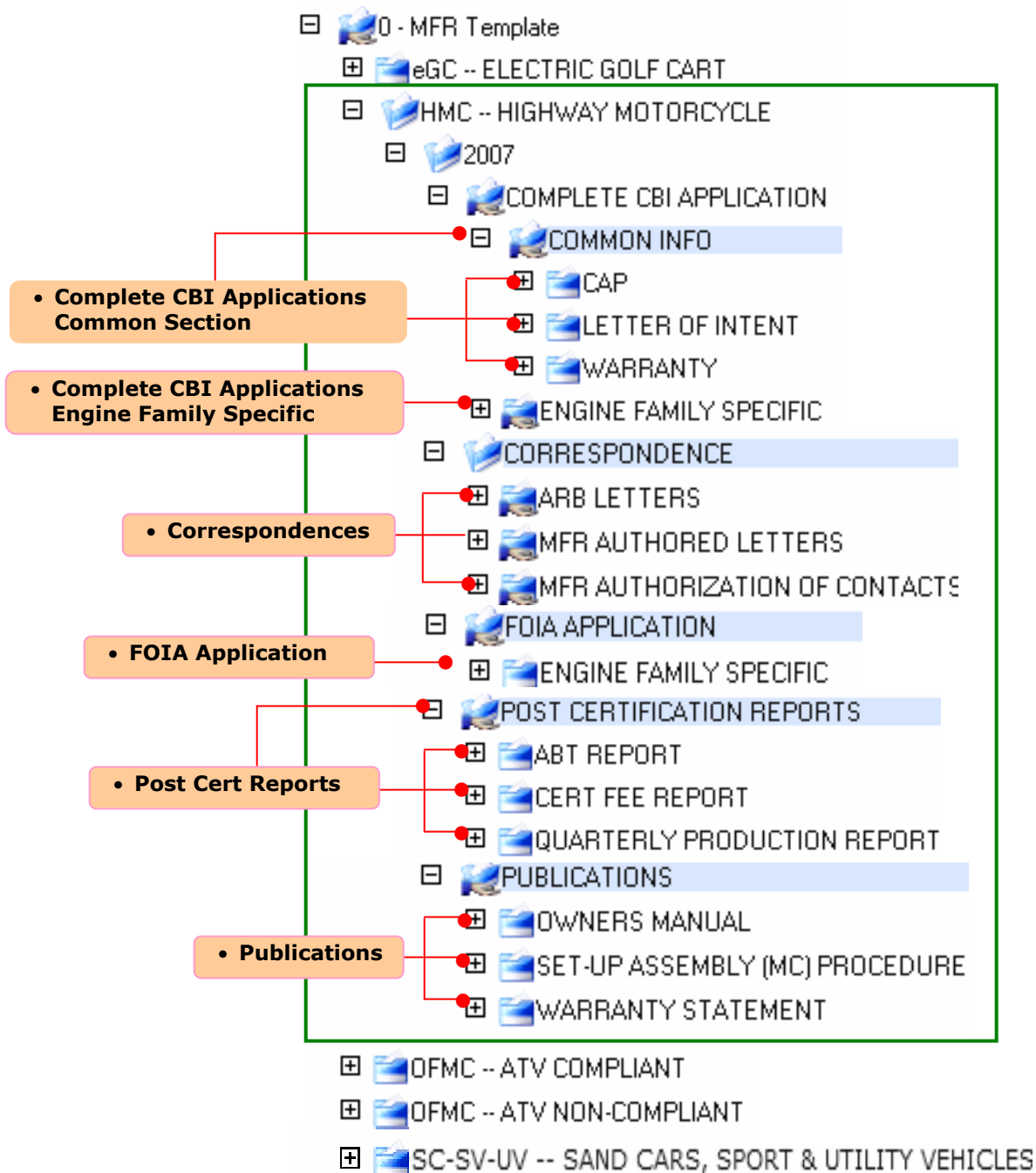


Figure 2-32 On-Road Motorcycle Category – OFMC ATV COMPLIANT Subdirectory and Assigned Document Types

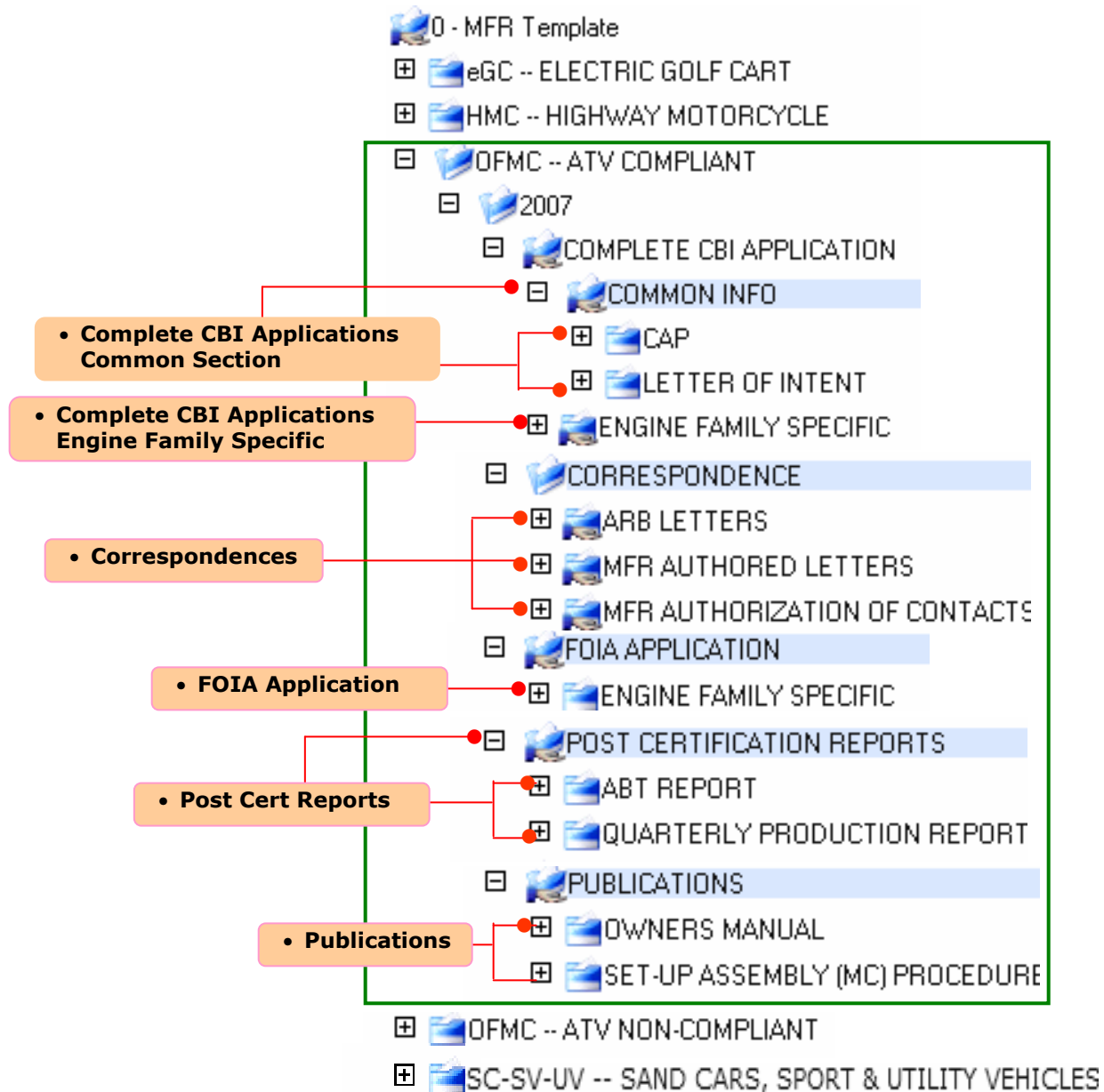
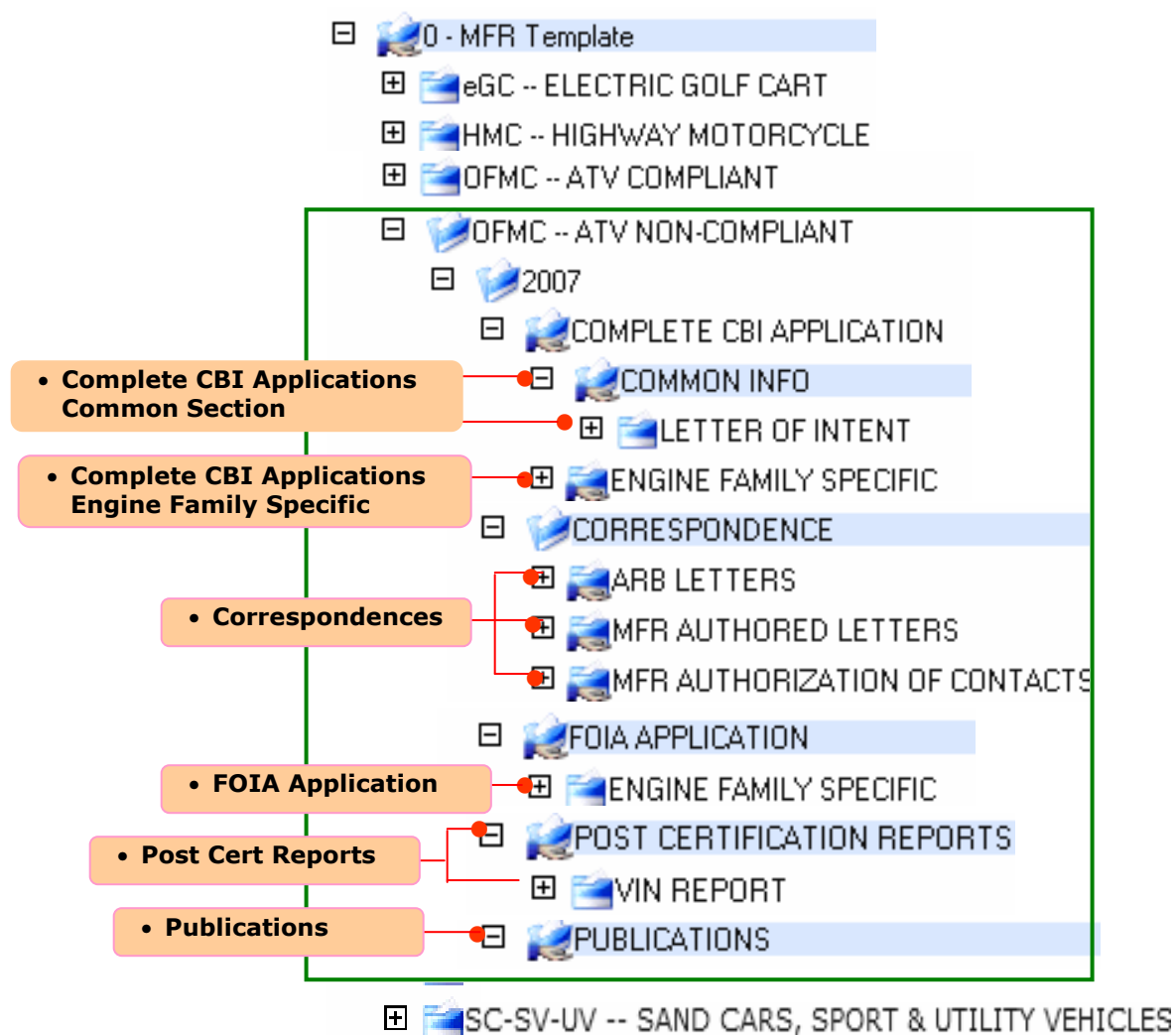
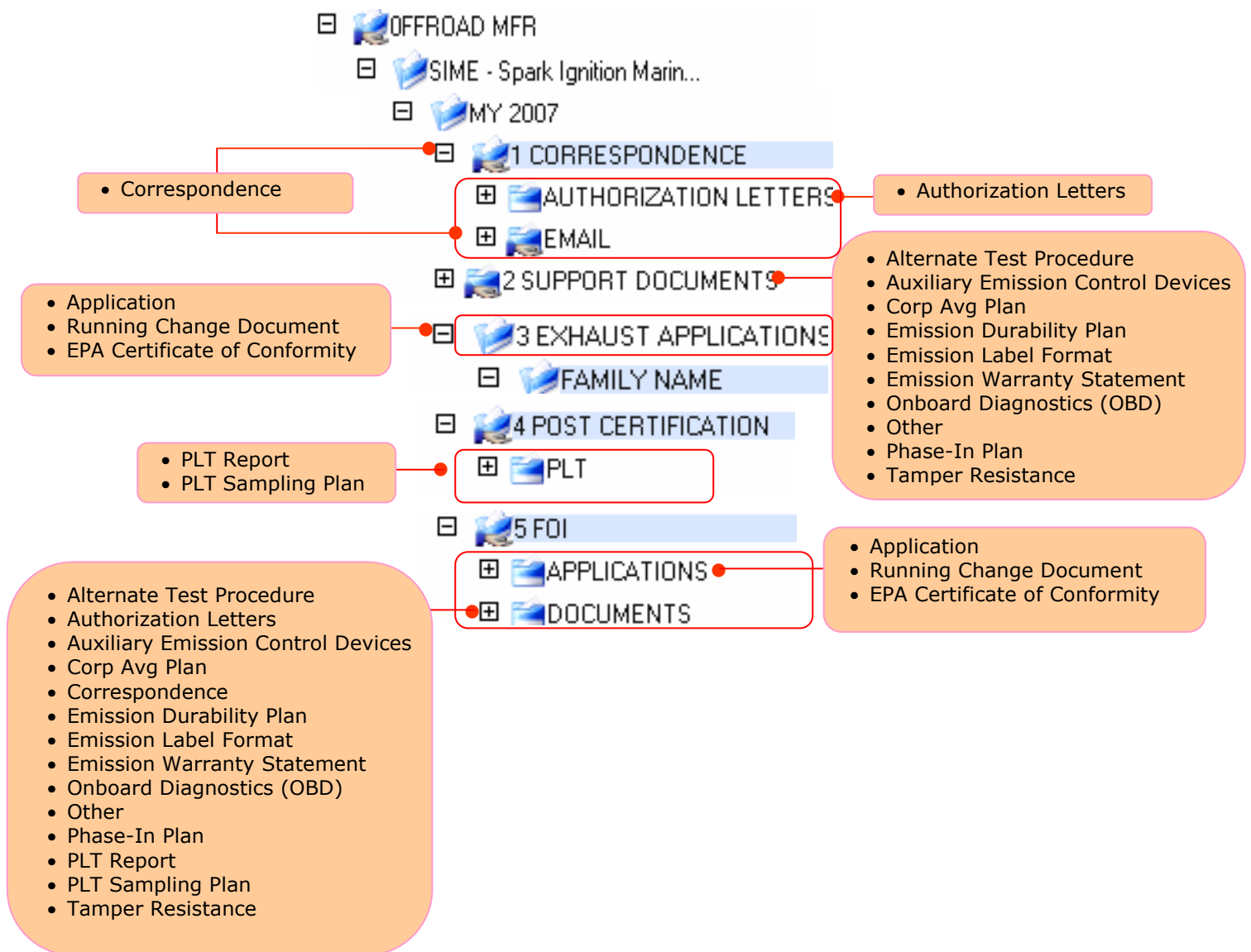


Figure 2-33 On-Road Motorcycle Category— “OFMC ATV NON-COMPLIANT Subdirectory and Assigned Document Types



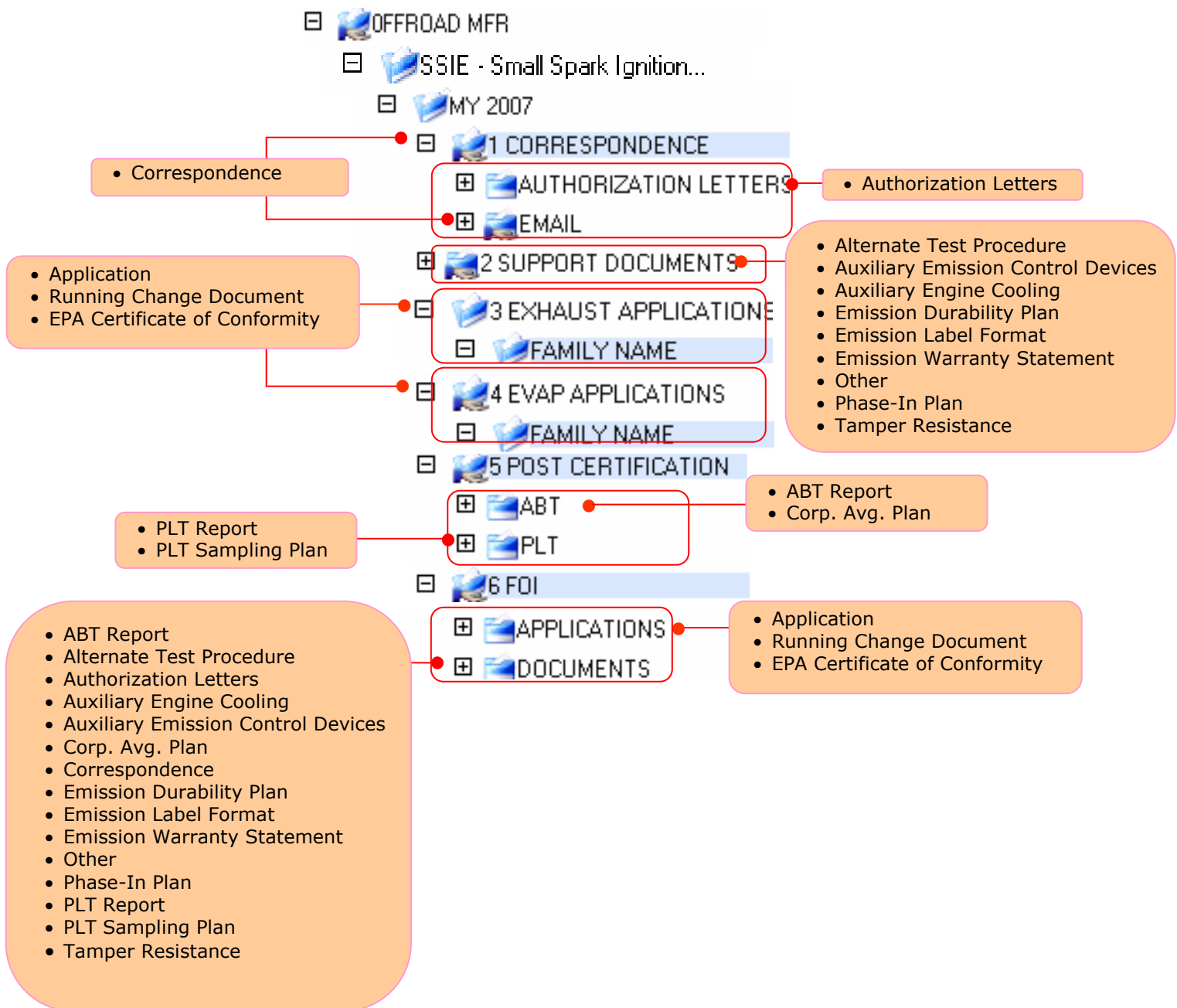
2.3.4 Off-Road SIME Category

Figure 2-34 Assigned Document Types for Off-Road Spark-Ignition Marine Engine (SIME) Category



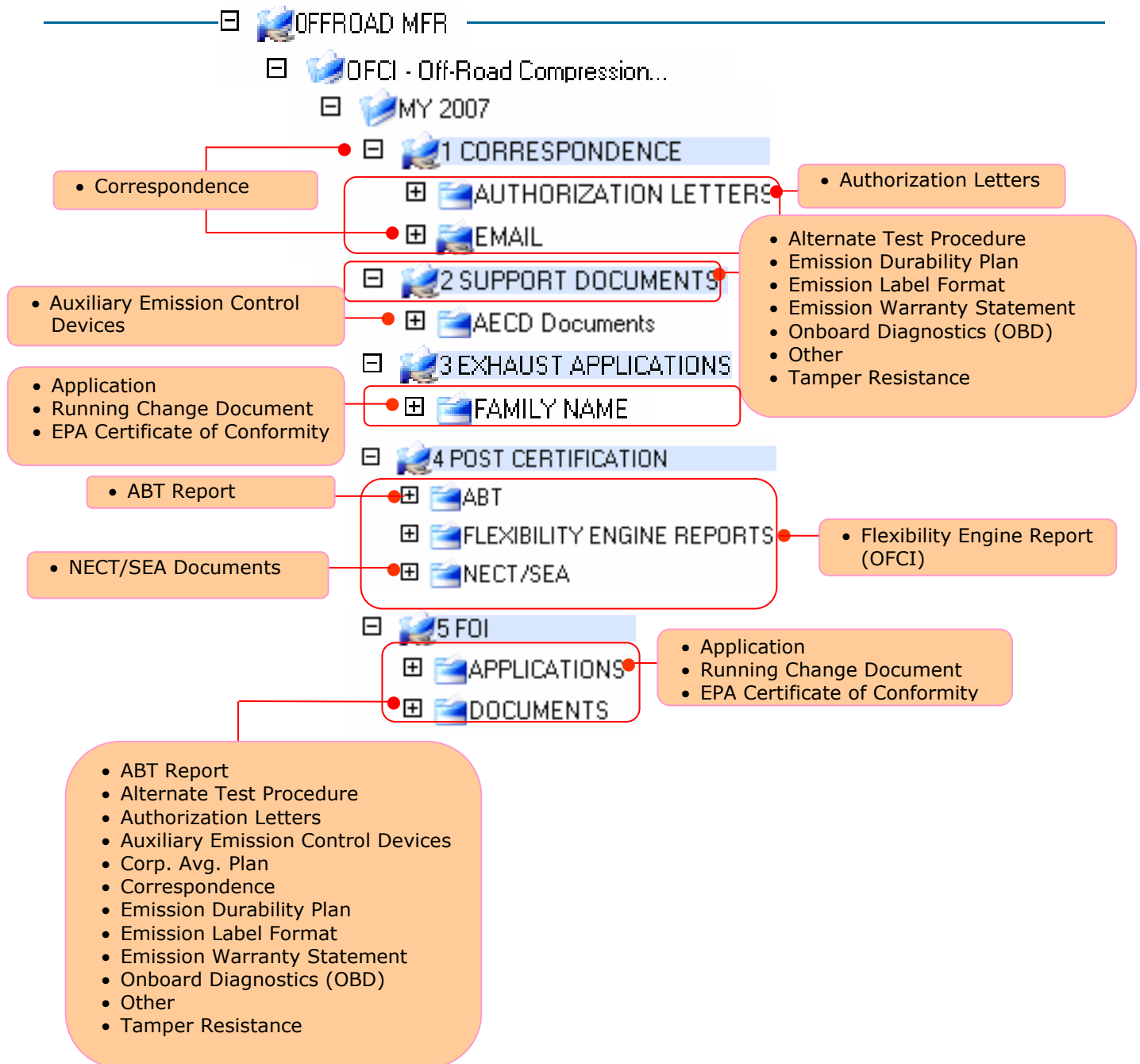
2.3.4 Off-Road SSIE Category

Figure 2-35 Assigned Document Types for Off-Road Small Spark-Ignition Engine (SSIE) Category



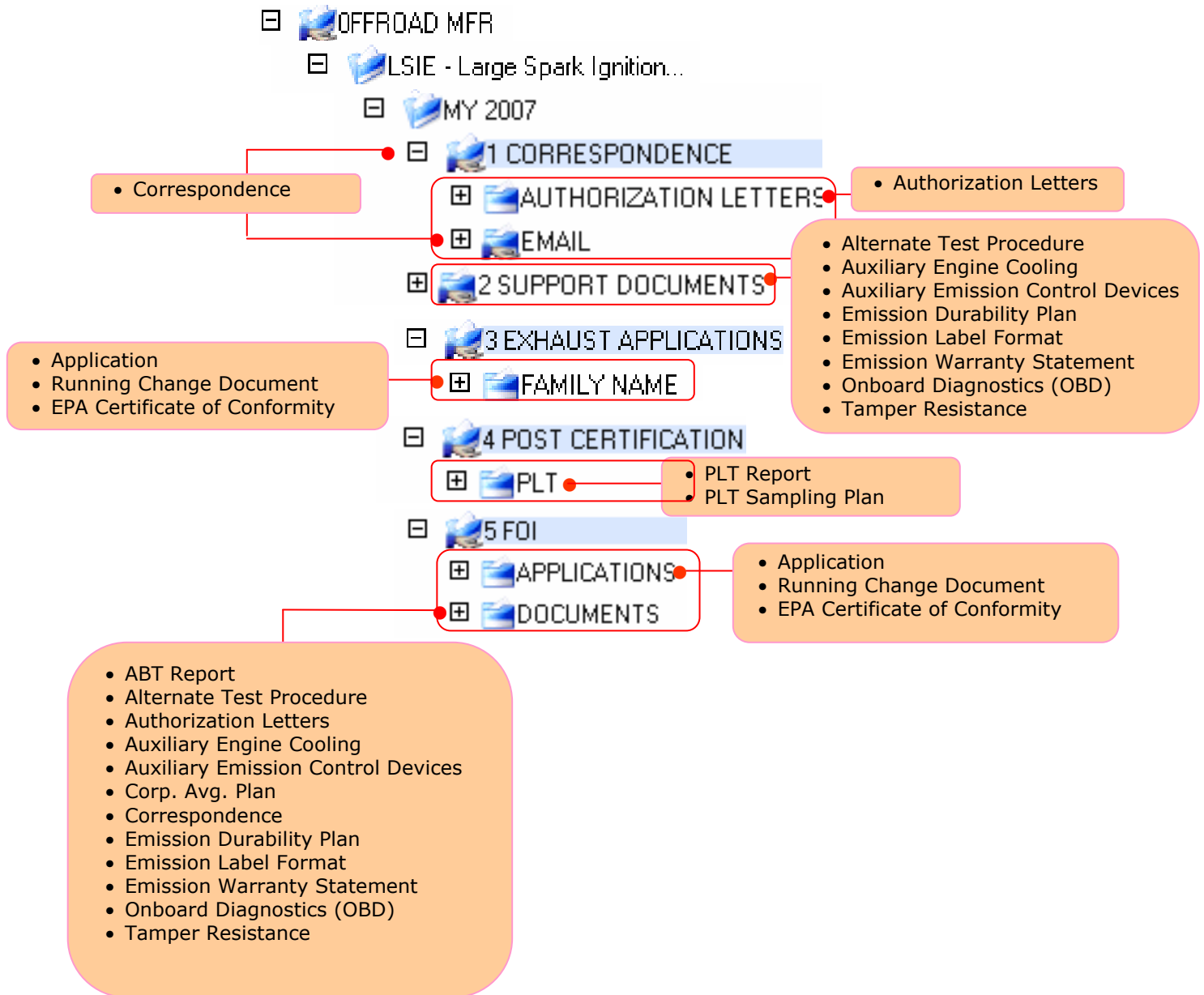
2.3.5 Off-Road OFCI Category

Figure 2-36 Assigned Document Types for the Folders in the Directory Tree — Off-Road Compression Ignition Engine (OFCI) Category



2.3.6 Off-Road LSIE Category

Figure 2-37 Assigned Document Types for the Folders in the Directory Tree —Off-Road Large Spark-Ignition Engine (LSIE) Category



3. GETTING STARTED

3. GETTING STARTED

In this section, manufacturers will learn how to get started with the ARB DMS, including:

- Connecting to ARB DMS
- Changing User Password

3.1 CONNECTING TO ARB DMS

Prior to accessing the **ARB DMS**, manufacturers and authorized users are required to obtain their “**User Name**” and “**Password**” from ARB. Using their assigned user name and secure password, manufacturers can then access the **ARB DMS** over the Internet from anywhere at anytime using the supported web browsers: Microsoft Internet Explorer 6.0+ and Netscape Navigator 7.0+.

The steps used to connect to the ARB DMS are described below and illustrated in **Figure 3-1**.

STEP 1— In your web browser, go to the ARB DMS User Login Page at:

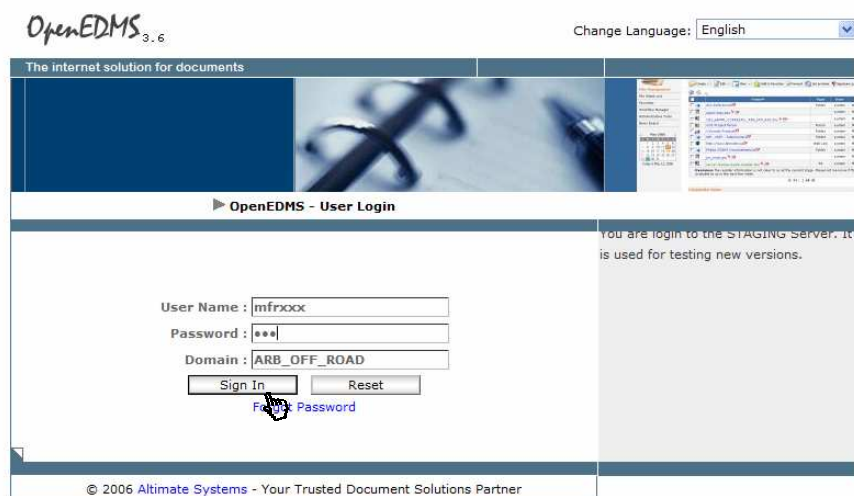
<https://secure.arb.ca.gov/certdms>

STEP 2— Input your assigned “**User Name**” and “**Password**”, please note that the password is *case-sensitive*.

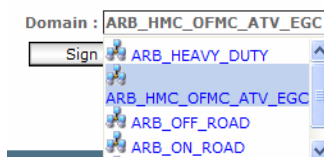
STEP 3 — Select the appropriate domain, “ARB_HEAVY_DUTY”, “ARB_HMC_OFMC_ATV_EGC”, “ARB_ON_ROAD” or “ARB_OFF_ROAD”.

STEP 4 — Next, click on the “**Sign In**” button to login to the ARB DMS.

Figure 3-1 The ARB DMS’s User Login Screen



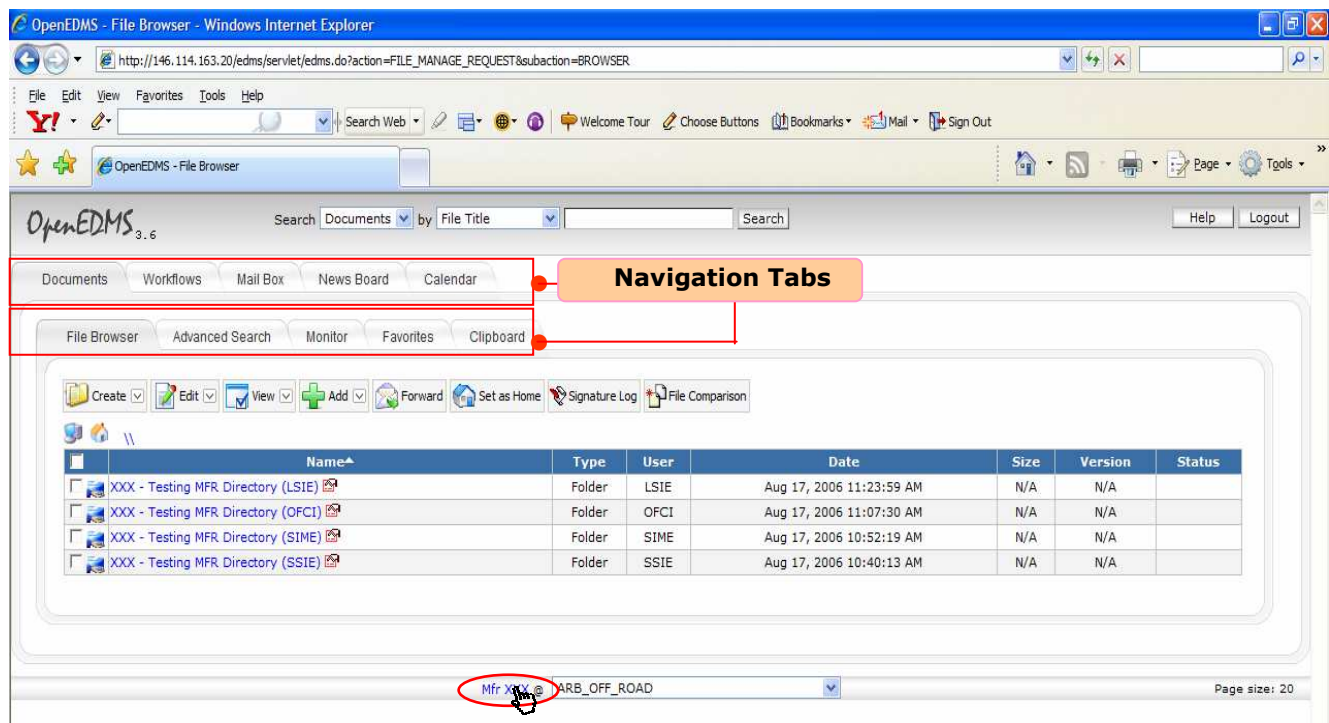
Note: To choose different domains, your first need to delete the default domain name(e.g., ARB_OFF_ROAD) in order to see other domain lists.



3.2 CHANGING USER PASSWORD

Manufacturers must change their assigned password after the first login. To do this, click on the user ID displayed at the bottom of the active window (e.g. Mfr XXX next to domain ARB_OFF_ROAD as shown in **Figure 3-2**) to open the **User Profile** screen in **Figure 3-3**.

Figure 3-2 How to Change the User Password — *the File Browser Screen*



STEP 1 — Under the **Profile** tab, type your new password in both input boxes: “**New Password**” and “**Confirmation**.”

STEP 2 — Next, click on the “**Update**” button to complete your password change.

STEP 3 — Exit the **User Profile** screen by clicking on the “**Back**” button

Figure 3-3 How to Change User Password — *the User Profile Screen*

(a) “*Profile*” Sub-tab

The screenshot shows the 'User Profile' screen with the 'Profile' tab selected. The 'New Password' and 'Confirmation' fields are highlighted with a red box, and a callout 'Change User Password' points to them. The 'Update' button is circled. The 'Login ID' is 'mfrxxx'. The 'Registration Date' is '2006-01-03 15:11:16.13'. The 'Account Number' is empty. The 'Status' is 'Active'. The 'Backup Person' is empty. The 'File Browser Display Settings' is 'Modify'. The 'Working Folder' is 'C:\0 Testing\MFR Training 11-C'. The 'Expiration' is '2008-11-30'. The 'Session Timeout' is 'Undefined'. The 'Update' button is circled. The 'Request Certificate', 'Reset', and 'Back' buttons are also visible.

On the “**Contact**” Tab, you can update your personal information when necessary. After you finish your modifications click on the “**Update**” button to save your changes.

(a) “*Contact*” Sub-tab

The screenshot shows the 'User Profile' screen with the 'Contact' tab selected. The 'Update' button is circled. The 'First Name' is 'Mfr'. The 'Last Name' is 'XXX'. The 'Phone' is '(626) 459-4461'. The 'Fax' is '(626) 450-6167'. The 'Email' is 'iguzmanc@arb.ca.gov'. The 'Company' is 'Air Resources Board'. The 'Job Title' is empty. The 'Address' is '9528 Telstar Ave'. The 'City' is 'El Monte'. The 'State' is 'CA'. The 'Postal Code' is '91731-2908'. The 'Country' is 'UNITED STATES'. The 'Request Certificate', 'Reset', and 'Back' buttons are also visible.

4. FILE MANAGEMENT

4. FILE MANAGEMENT

In this section, manufacturers will learn the following basic features in the ARB DMS **File Browser** screen:

- The **File Browser** Screen Layout
- Directory Navigation
- Uploading Documents to ARB DMS

Additional features included in the **File Browser** screen will be covered in **Section 6**.

4.1 THE FILE BROWSER SCREEN LAYOUT

Once logged in, you will only see your own manufacturer root directory in the DMS **File Browser** screen based on your assigned DMS “**Access-control**” permission. You can navigate your directory tree from the **Documents** Tab > **File Browser** sub tab. The **File Browser** provides a repository view of all available content stored in the active domain. **Figure 4-1** provides an example of the **File Browser** sub-tab layout for the off-road SSIE category.

Figure 4-1 File Browser Screen Layout for Off-Road SIME Category

Search Tool Menu: Perform Simple Search

Navigation Tabs: quickly access various domain sectors and functions

Embedded Toolbar: Perform basic file and folder operations

Document Status

Manufacturer Directory Tree Structure

User ID and Current Domain Name

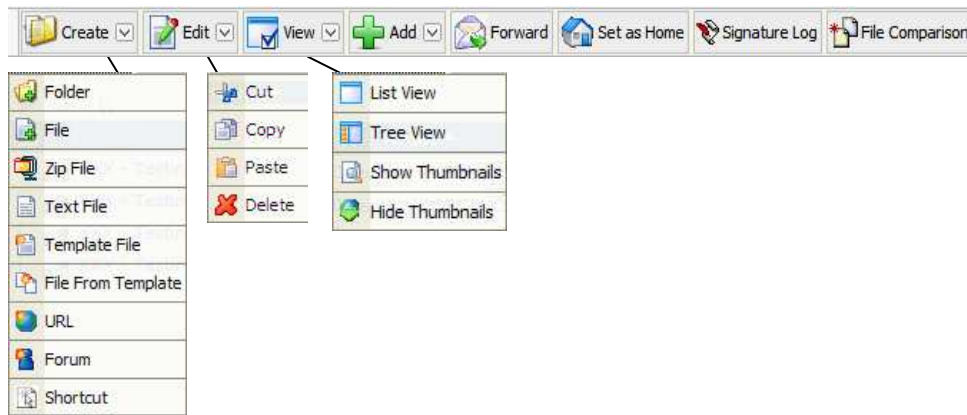
Name	Type	User	Date	Size	Version	Status
CBI_70FRD04.submitted inside_.doc		IVON_MFR	Dec 11, 2006 3:24:52 PM	41 KB	1.0	Pending
CBI_7xxx.backup1_.doc	Alternate Test Procedure	mfrxxx	Dec 11, 2006 5:09:13 PM	41 KB	1.0	Complete
Keyword: Testing backup person						
CBI_7XXX_wodelegate_.doc	Alternate Test Procedure	mfrxxx	Dec 11, 2006 5:14:35 PM	41 KB	1.0	Complete
CBI_7XXX2_COMMON_RFA3WAR_.pdf	Emission Warranty Statement	mfrxxx	Dec 7, 2006 9:58:36 AM	59 KB	1.0	Received
Keyword: Warranty convert to PDF						
CBI_7XXXD_COMMON_RFA3WAR_.doc	Emission Warranty Statement	IVON_MFR	Dec 7, 2006 3:51:58 PM	41 KB	1.2	Pending
Keyword: Warranty						
CBI_7XXX_COMMON_RFA3LAB_.doc	Emission Label Format	mfrxxx	Dec 7, 2006 5:43:51 PM	41 KB	1.3	Approved
Keyword: Uploaded and submitted by mfr xxx						
CBI_7XXX_COMMON_RFA3OBD_.doc	Auxiliary Engine Cooling	mfrxxx	Dec 7, 2006 5:23:09 PM	41 KB	1.0	Pending
Keyword: mfr xxx						

Mfr XXX @ ARB_OFF_ROAD

Page size: 20

In the **File Browser**, the **Embedded Toolbar** (see **Figure 4-2**) provides a simple set of functions readily accessible. Depending on the assigned access permissions, you may perform only part of the following actions from the toolbar:

Figure 4-2 File Browser> Embedded Toolbar



Create:

The **Create** function in the toolbar is used to *upload* new files to the DMS and to create new folders, text files, template files, files from template, URLs, forums, and shortcuts.

Edit:

This **Edit** function allows **authorized users** to **cut, copy, paste, and delete** selected files or folders under the target directory in which they have assigned permission for file or folder modification or deletion. In the ARB DMS, manufacturers are not allowed to delete the files after they are uploaded to the DMS. If a manufacturer needs to delete an uploaded file, the manufacturer needs to contact its designated certification staff to do so.

View:

By using the **View** function, manufacturers can change the display setting by switching between two view options: *List View* and *Tree View*. The default view of DMS is “*List View*.” To change the default view, click “**View**” in the tool bar to switch the view setting to “*Tree View*.” Screen snap shots of both “*List View*” and “*Tree View*” are provided in **Figures 4-3** and **4-4**, respectively.

Figure 4-3 File Browser — *List View*

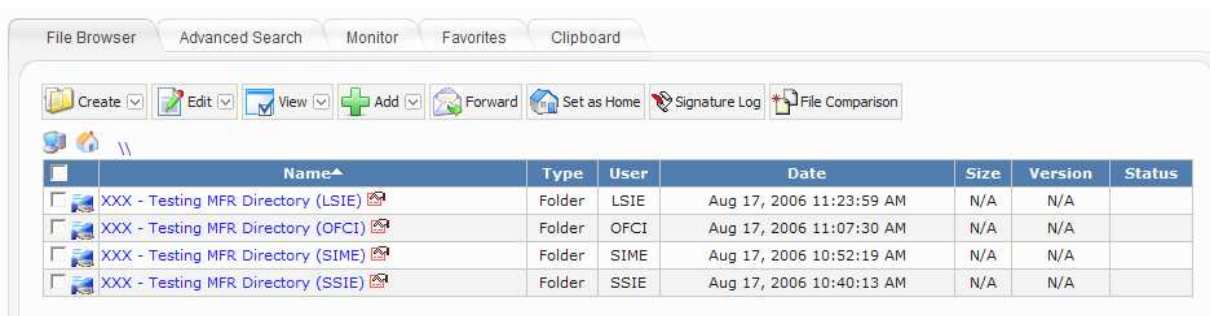
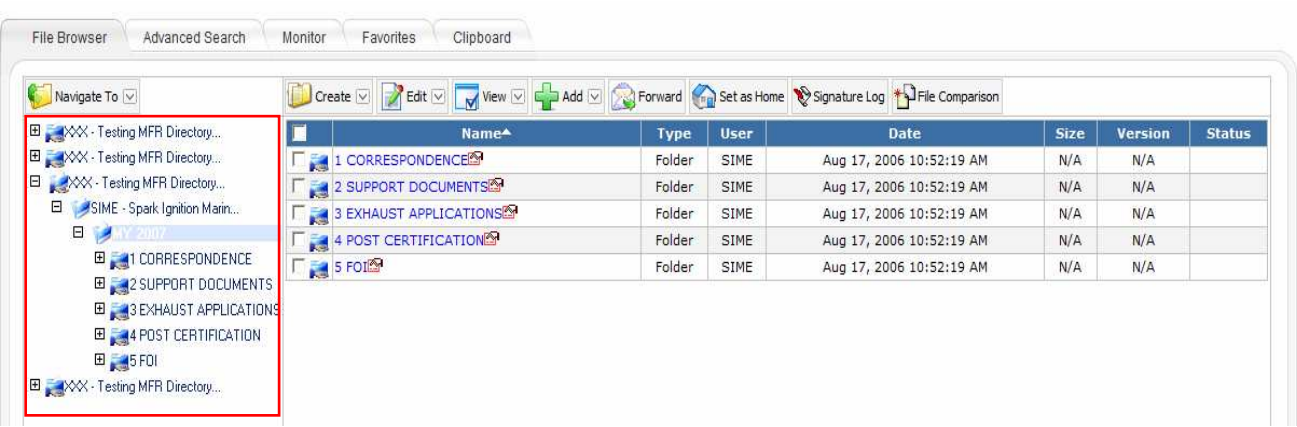




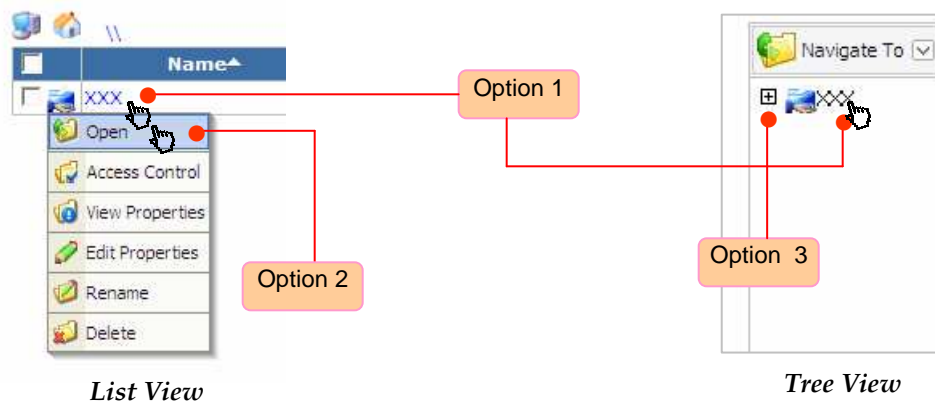
Figure 4-4 File Browser Screen — *Tree View*



4.2 DIRECTORY NAVIGATION

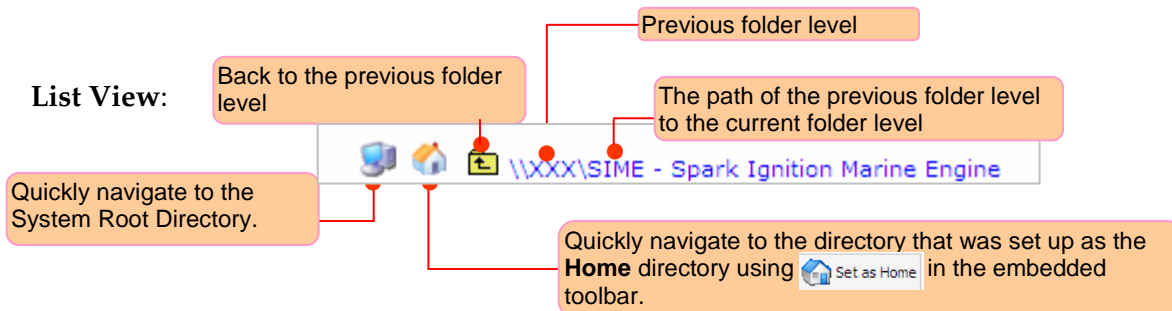
Depending on the view setting, “*List View*” or “*Tree View*,” the manufacturer can expand the root directory to open its subdirectories or subfolders by using one of the following options:

- **Option 1**— In either “*List View*” or “*Tree View*,” directly click on the name of the directory or folder to open it.
- **Option 2**— In “*List View*,” left click the directory or folder icon  to open the drop-down file operational menu and select “*Open*.”
- **Option 3**— In “*Tree View*,” click the  to expand the directory.

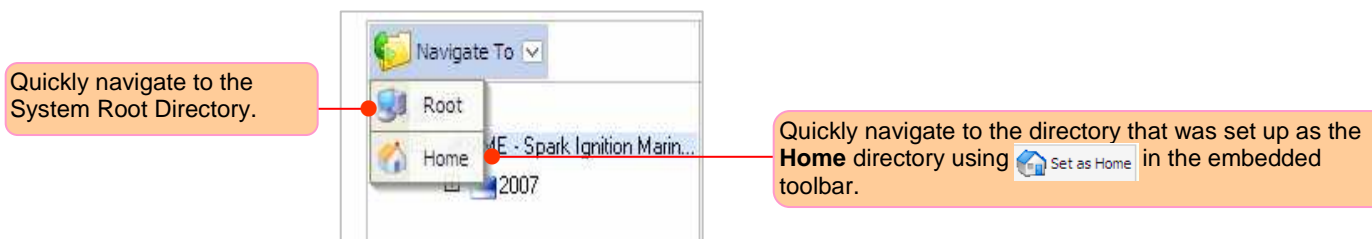


In the **File Browser** screen, manufacturers may find the directory tree structure similar to those commonly seen in the Microsoft Windows Operating System. You can navigate to the desired directory or folder using the above options.

Additionally, you will also find the following icons useful for quick navigation.



Tree View:



4.3 UPLOADING DOCUMENTS TO ARB DMS

After the documents are appropriately prepared and named, you are now ready to upload the documents to the desired folders in your own manufacturer directory.

Please note that for **Off-Road Categories**, manufacturers are required to upload the documents with Confidential Business Information (CBI) to their CBI folders for review. Submitting a copy of the same documents without confidential business information or Freedom of Information (FOI) to their corresponding FOI folders is optional. Manufacturers can choose to either upload both CBI and FOI versions to the DMS at the same time or can upload the FOI version to the DMS if and when ARB receives a Public Records Act (PRA) request.

As an example, consider an off-road SIME manufacturer (Mfr XXX) who has prepared a file and named the file as: “CBI_7XXXM.1961WM_RFA1LAB_.pdf.” Based on the “ARB’s Guidance on Electronic File Naming Convention” described in Section 2.0 and Appendix A, Mfr XXX shall upload the file to the **2 SUPPORT DOCUMENTS** folder under the folder of Model Year 2007.

Please see the following step-by-step example of how to upload this document to the desired folder in the Mfr XXX directory.

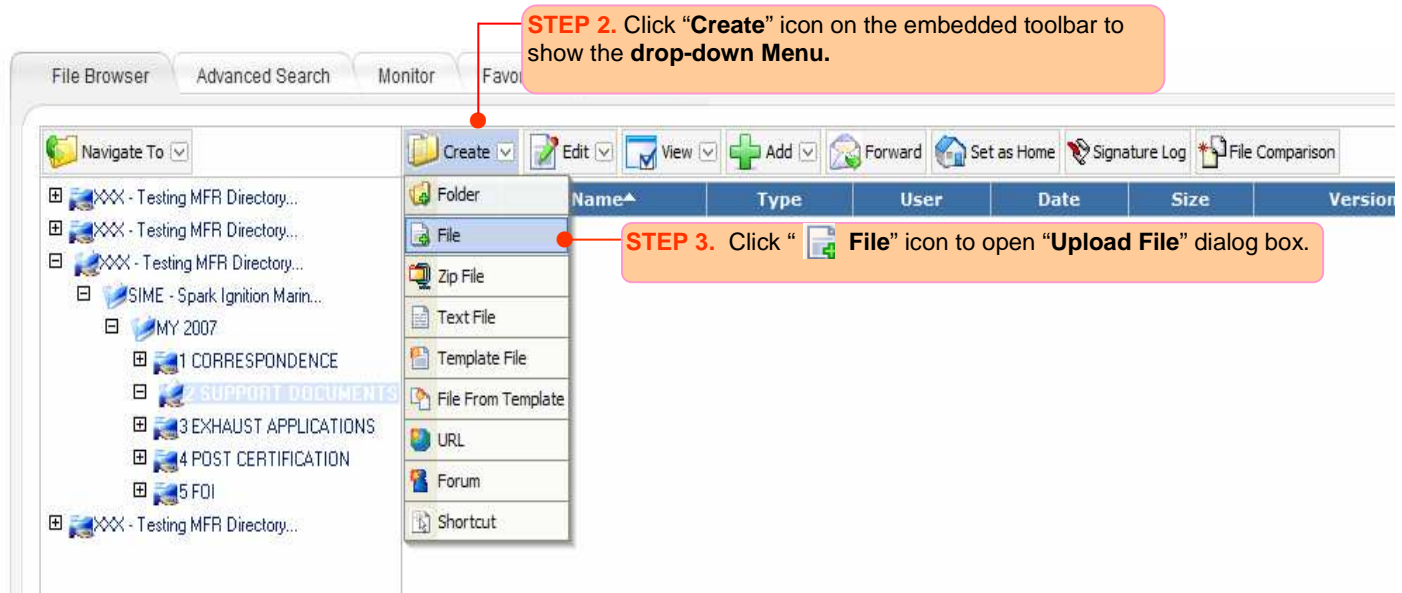
STEP 1 — Navigate to the desired folder (e.g., **2 SUPPORT DOCUMENTS** folder). Please make sure you have navigated to the desired folder since the file will be uploaded to the folder in which the “Create” function was executed. See **Figure 4-5**.

Figure 4-5 **How to Upload the Documents to the ARB DMS — Directory Navigation**



STEPS 2 & 3 — Once in the desired folder, click the “**Create**” menu on the embedded toolbar and select the “**File**” function to open the “**Create File**” tab shown in **Figure 4-6**.

Figure 4-6 **How to Upload the Documents to the ARB DMS — Create (Upload) File**



STEP 4 — Under the “**Create File**” tab, click the “**Browse**” button to browse and select the local files to be uploaded to the DMS server. See **Figure 4-7-a**.

STEP 5 — Once the desired local file has been selected, both the **Save As** and the **File Title** fields will automatically assume the source file name (e.g. CBI_7XXXM.1961WM_RFA1LAB_.pdf). An alternate file name can be assigned in the **Save As** input-box. This is the name used to save your document in the repository. We recommend that you do not modify the **File Title**. The system will save the source name in the **File Title** and you can use it to compare the source name (original name) with the target name (name saved as in the repository). The source file name may be modified, but the file extension (in our example, .pdf) must be retained so that the file format is preserved and the document can be open.

STEP 6 (Optional) — Under the “**Create File**” tab, you can also provide any keywords for the selected file. Use it as a tool to communicate something important about the document with your assigned ARB staff representative and/or to easily remember the main content of the document without opening it. If you have more than one version you can also summarize the main differences of each version.

STEP 7 (Optional) — You also have the option to convert the selected file to PDF format or keep the original document as is. You may want to retain the source document in the original format and upload a PDF version. The system provides a PDF converter. To do so, select the check-box “Convert to PDF” and the system will upload a PDF version. If you also select the check box “Keep the original,” the system will upload two copies: the original format and a PDF format document. To upload the original format only, you do not need to select any of these two check boxes.

STEP 8 — Click the “**Metadata**” sub-tab. As shown in **Figure 4-7-b**, select a corresponding document type from the “**Document Class(es)**” list box and click “>” to add this specific document type to “**Selected Document Class(es)**” box. In this example, we selected the “**Emission Label Format**” document type.

A base version number (e.g., 1.0 by default) will be assigned automatically to the new document once it is uploaded into the desired folder. All newly uploaded files are immediately searchable for rapid retrieval and convenient ease of access. The status of the newly submitted document is assigned as “Draft” by default. See **Figure 4-8**.

Figure 4-8 **How to Upload the Documents to the ARB DMS —Version Number and Document Status**

The screenshot shows the ARB DMS File Browser interface. At the top, there are tabs for File Browser, Advanced Search, Monitor, Favorites, and Clipboard. Below the tabs is a toolbar with icons for Create, Edit, View, Add, Forward, Set as Home, Signature Log, and File Com. The main area displays a file list for the path \\XXX - Testing MFR Directory (SIME) \\SIME - Spark Ignition Marine Engine\\MY 2007\\2 SUPPORT DOCUMENTS. The file list has columns for Name, Type, User, Date, Size, Version, and Status. A single file is listed: CBI_7XXXM.1961WM_RFA1LAB_.pdf, with Type Emission Label Format, User mfrxxx, Date Dec 22, 2006 10:36:02 AM, Size 71 KB, Version 1.0, and Status Draft. Two callout boxes highlight the Version and Status columns. The first callout box points to the Version column and states: "The version number of the newly submitted document is '1.0,' which is automatically assigned by the DMS system." The second callout box points to the Status column and states: "The status of the newly submitted document is 'Draft,' which is automatically assigned by the system."

Name	Type	User	Date	Size	Version	Status
CBI_7XXXM.1961WM_RFA1LAB_.pdf	Emission Label Format	mfrxxx	Dec 22, 2006 10:36:02 AM	71 KB	1.0	Draft

The uploaded file is now ready to be submitted into the ARB DMS Workflow Processes. Please note that if the file has been named incorrectly, ARB staff will ask you to *rename* the file with the proper file naming convention. Additionally, the file must be submitted to the Workflow in order for documents to be reviewed by ARB staff. If it is not submitted to the workflow, staff will not receive notification that a new document has been submitted for review.

5. WORKFLOW PROCESSES

5. WORKFLOW PROCESSES

In this section, manufacturers will learn how to submit uploaded documents to **Workflow Processes** in the ARB DMS. *Only documents submitted to Workflow Processes will be reviewed by ARB staff.*

- Introduction to Workflow Processes
- List of Workflow Templates for On-Road and Off-Road Manufacturers
- Submitting Documents to Workflow Processes
- Checking the Status of Documents Submitted to the Workflow Processes
- Submitting Additional Documents to the Workflow Process

5.1 INTRODUCTION TO WORKFLOW PROCESSES

The **ARB DMS Workflow System** is designed to facilitate and streamline document review, processing, and approval. All electronic documents submitted to the workflow for processing are automatically routed to the workflow participants for review. With automatic task routing, the designated workflow participants (e.g., ARB certification staff) are notified when new submissions are made by manufacturers. It is important that manufacturers submit their files to the workflow or ARB staff will not receive notification of the documents submitted and the documents will not be reviewed. **Figure 5-1** shows a flow chart of the ARB DMS Workflow Process and **Figure 5-2** provides a screen layout of the **Process Manager** under the **Workflow Manager** section.

Figure 5-1 Flow Chart of the DMS Workflow Process

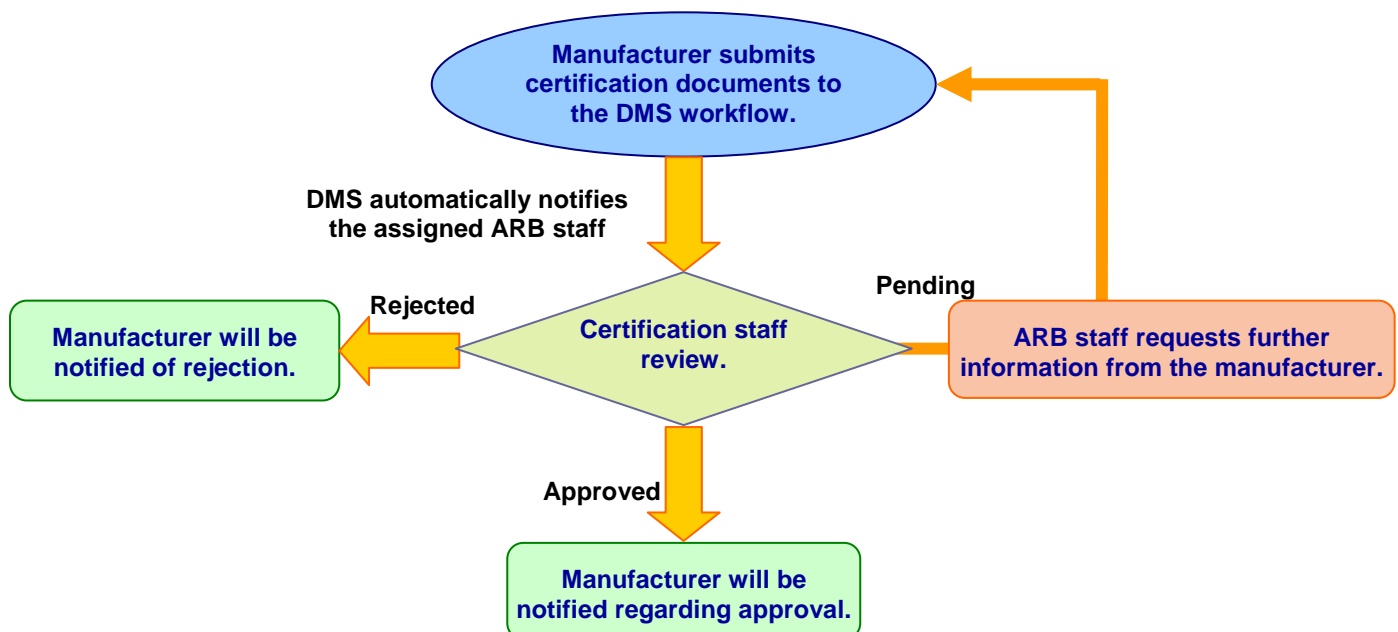


Figure 5-2 Workflow Tab — “Pending Process” and “Finished Process” Sub-tabs

(a) “Pending Process” Sub-tab

OpenEDMS 3.6 Search Documents by File Title

Documents Workflows Mail Box News Board Calendar

Pending Process Finished Process Submit New Document(s)

Search filters: search for the workflow process based on the specified criteria.

Start Date: From [] To [] Reset
End Date: From [] To [] Reset
Process: [] All Users Search

Click to review only “Pending” Processes.

Sorting Headings: in this new version, the user can sort the workflow processes by clicking the headings of each columns.

The date on which each process was initiated.

Submit additional documents for processing.

Process	Workflow	Created By	Start Date
SIME_2007_XXX_LAB	SIME--Approval of Certification Support Documents (ver 7.0)	mfrxxx	Dec 26, 2006

Mfr XXX @ ARB_OFF_ROAD

(b) “Finished Process” Sub-tab

OpenEDMS 3.6 Search Documents by File Title

Documents Workflows Mail Box News Board

Pending Process **Finished Process** Submit New Document(s)

Sorting Headings: in this new version, the user can sort the workflow processes by clicking the headings of each columns.

Click to review only “Finished” Processes.

Process	Workflow	Created By	Start Date	End Date
Label 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Request for Approval of MFR XXX 2007 MY Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 5, 2006	Sep 5, 2006
Sorry, new changes please review	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Test Approval of MFR XXX Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006
Test for MFR XXX Application Byron	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006
Testing notification system -- PDF Warranty doc	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Testing notification to back-up person	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 11, 2006
test delegate 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006
test2 wo delegate	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006

Mfr XXX @ ARB_OFF_ROAD

5.2 LIST OF WORKFLOW TEMPLATES FOR ON-ROAD AND OFF-ROAD CATEGORIES

In the ARB DMS, the workflow templates are defined based on specified document types and their review and approval processes. **Tables 5-1** and **5-3** list available workflow templates for the on-road Light Duty (LD), Motorcycle, and Heavy Duty (HD) categories, respectively. **Tables 5-4** and **5-7** list available workflow templates for the off-road SIME, SSIE, LSIE, and OFCI categories, respectively.

Table 5-1 Workflow Templates for On-Road LD Category

No.	Workflow Template Name	Document Types
1	LD FOIA Application Submission	<ul style="list-style-type: none">LD FOIA TG Certification Application - TG Specific
2	LD FOIA Certification Application – Common Section	<ul style="list-style-type: none">LD FOIA Certification Application –Common Section
3	LD CBI Application Submission	<ul style="list-style-type: none">LD CBI Certification Application - TG Specific
4	LD CBI Certification Application – Common Section	<ul style="list-style-type: none">LD CBI Certification Application –Common Section
5	LD CBI Running Change Requiring New EO	<ul style="list-style-type: none">LD CBI Running Change Requiring New EO
6	LD CBI Running Change with no new EO Required	<ul style="list-style-type: none">LD CBI Running Change with no new EO Required
7	LD Correspondence Submission	<ul style="list-style-type: none">LD Correspondence
8	LD Post Certification Submission	<ul style="list-style-type: none">Reports
9	LD Publication Submission	<ul style="list-style-type: none">Publications
10	LD CBI Update/Final Application	<ul style="list-style-type: none">LD CBI Upate/Final Certification Application – TG Specific

Table 5-2 Workflow Templates for On-Road Motorcycle Category

No.	Workflow Template Name	Document Types
1	CBI Applications Common Section	<ul style="list-style-type: none">Complete CBI Applications Common Section
2	CBI Applications Engine Family	<ul style="list-style-type: none">Complete CBI Applications Engine Family Specific
3	Correspondence	<ul style="list-style-type: none">Correspondence
4	FOIA Applications	<ul style="list-style-type: none">FOIA Application
5	FOIA Applications Common Section	<ul style="list-style-type: none">FOIA Applications Common Section
6	Post Certification	<ul style="list-style-type: none">Post Cert Reports
7	Publications	<ul style="list-style-type: none">Publications

Table 5-3 Workflow Templates for On-Road HD Category

No.	Workflow Template Name	Document Types
1	CBI-Certification Application	<ul style="list-style-type: none">• CBI-Application for certification -HD engine family specific
2	Reports	<ul style="list-style-type: none">• Periodic reports submitted by manufacturers
3	Certification Preview Plan (CPP)	<ul style="list-style-type: none">• Certification Preview Plan (CPP) Material
4	Common Material	<ul style="list-style-type: none">• Application common information I
5	Correspondence	<ul style="list-style-type: none">• Manufacturer general Correspondence
6	FOIA Certification Application	<ul style="list-style-type: none">• FOIA Application for certification – (public accessible/non-confidential information)
7	Publications	<ul style="list-style-type: none">• Publications (i.e. service manuals, owners manuals, etc.)

Table 5-4 Workflow Templates for Off-Road SIME Category

No.	Workflow Template Name	Document Types
1	SIME--Approval of Certification Applications	<ul style="list-style-type: none">• Application• EPA Certificate of Conformity• Running Change Document
2	SIME--Approval of Certification Support Documents	<ul style="list-style-type: none">• Emission Durability Plan• Alternate Test Procedure• Emission Label Format• Emission Warranty Statement• Corp Avg Plan• PLT Sampling Plan• Tamper Resistance• Onboard Diagnostics (OBD)• Auxiliary Emission Control Devices; Phase-in Plans• Authorization Letters• Correspondence
3	SIME--Approval of Mfr ABT or PLT Report	<ul style="list-style-type: none">• ABT Report• PLT Report

Table 5-5 Workflow Templates for Off-Road SSIE Category

No.	Workflow Template Name	Document Types
1	SSIE--Approval of Certification Applications	<ul style="list-style-type: none">• Application• EPA Certificate of Conformity• Running Change Document
2	SSIE--Approval of Certification Support Documents	<ul style="list-style-type: none">• Emission Durability Plan• Alternate Test Procedure• Emission Label Format• Emission Warranty Statement• Corp Avg Plan• PLT Sampling Plan• Tamper Resistance• Auxiliary Engine Cooling• Auxiliary Emission Control Devices• Phase-in Plans
3	SSIE--Approval of Mfr ABT Report	<ul style="list-style-type: none">• ABT Report
4	SSIE--Approval of Mfr ABT or PLT Report	<ul style="list-style-type: none">• PLT Report

Table 5-6 Workflow Templates for Off-Road LSIE Category

No.	Workflow Template Name	Document Types
1	LSIE--Approval of Certification Applications	<ul style="list-style-type: none"> • Running Change Document • Application • EPA Certificate of Conformity
2	LSIE--Approval of Certification Support Documents	<ul style="list-style-type: none"> • Emission Durability Plan • Alternate Test Procedure • Emission Label Format • Emission Warranty Statement • Corp Avg Plan • PLT Sampling Plan • Tamper Resistance • Onboard Diagnostics (OBD) • Auxiliary Emission Control Devices • Phase-in Plans • Authorization Letters • Correspondence
3	LSIE--Approval of Mfr ABT or PLT Report	<ul style="list-style-type: none"> • PLT Report • ABT Report


Table 5-7 Workflow Templates for Off-Road OFCI Category

No.	Workflow Template Name	Document Types
1	OFCI--Approval of Certification Applications	<ul style="list-style-type: none"> • Running Change Document • Application • EPA Certificate of Conformity
2	OFCI--Approval of Certification Support Documents	<ul style="list-style-type: none"> • Emission Durability Plan • Alternate Test Procedure • Emission Label Format • Emission Warranty Statement • PLT Sampling Plan • Tamper Resistance; • Onboard Diagnostics (OBD) • Auxiliary Emission Control Devices • Phase-in Plans • Authorization Letters • Correspondence • NECT/SEA Documents
3	OFCI--Approval of Mfr ABT Report	<ul style="list-style-type: none"> • ABT Report
4	OFCI--Approval of Flexibility Engine Reports	<ul style="list-style-type: none"> • Flexibility Engine Reports (OFCI)

5.3 SUBMITTING DOCUMENTS TO THE WORKFLOW PROCESSES

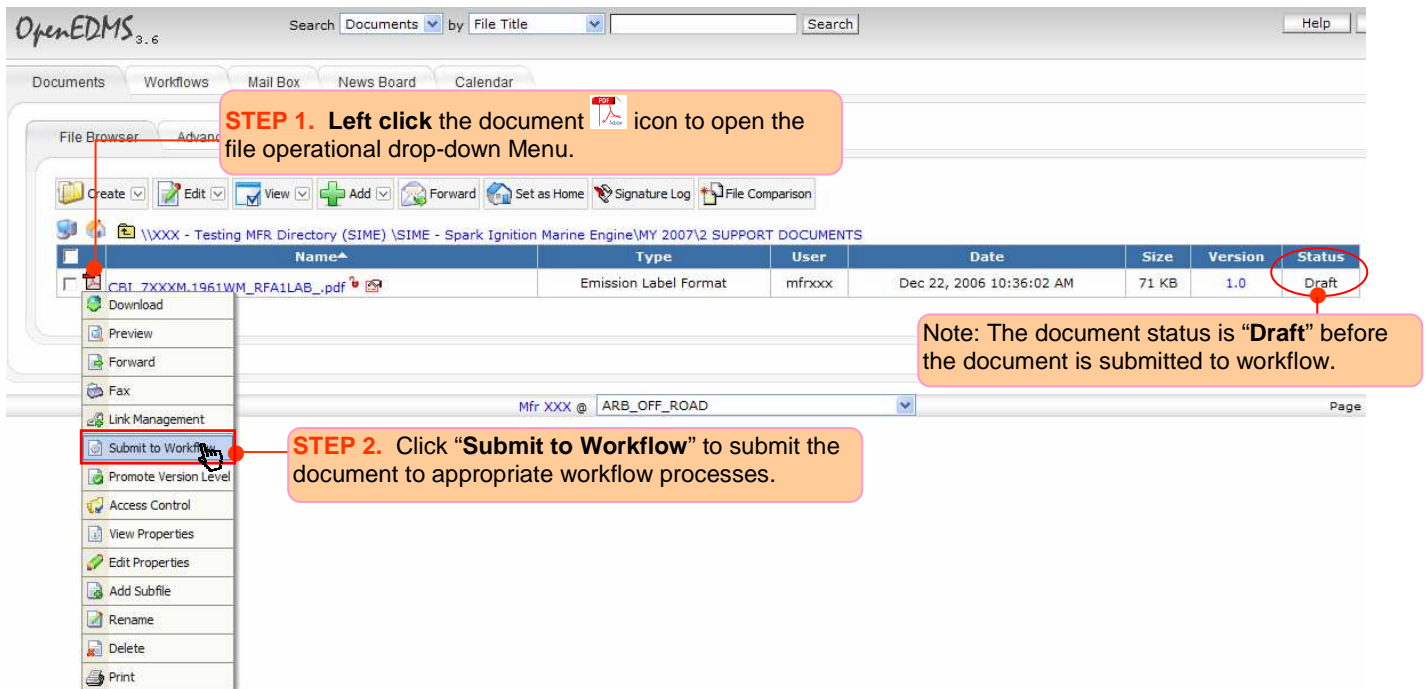
In Section 4, you learned how to upload documents to the desired folders. In this section, you will learn how to submit the uploaded documents to the DMS workflow processes.

Using the same example from Section 4, below is a step-by-step demonstration of how to submit the uploaded documents to the intended workflow processes. **Figures 5-3** and **5-4** illustrate all the steps through screen snap shots.

STEP 1 — Left click on the document icon  that you want to submit to the workflow process. This will open a drop-down file operational menu.

STEP 2 — Click on the “**Submit to Workflow**” function and the **Workflow Manager** Screen will appear.

Figure 5-3 How to Submit Documents to the Workflow Processes — *Submit to Workflow*



Based on the document type of the file (e.g., ABT report), you will see the available active workflow template(s). The workflow template only accepts documents submitted from the repository if a document type has been previously associated to the workflow. In this example, you will see “Approval of Certification Support Documents” is the only available active workflow template since Mfr XXX is submitting the document with the **Emission Label Format** document type. Please refer to **Tables 5-1** and **5-7** in Section 5.2 to identify the workflow templates available to each document type.

STEP 3 — Select the available active workflow template. Once selected, the name of the template will be immediately shown next to “**Template Name**”.

STEP 4 — Name the Process following the appropriate naming convention indicated on Appendix C, which contains a guideline to facilitate naming on-road and off-road processes. A process could have one or more documents related to one application or approval request. Please use a name that represents the main document or purpose. If additional information is needed, you will receive an e-mail notification making reference to the process name that you assigned. Please do not assign the same name to more than one work-flow process otherwise you may have difficulties determining which process to amend.

STEP 5 — Click on the “**Submit**” button. The DMS will then automatically route the document to the selected workflow and add it to the queue of the ARB staff assigned by the workflow template. The assigned certification staff will be automatically notified via e-mail of the new document submission.

Figure 5-4 **How to Submit Documents to the Workflow Processes —Workflow Manager >Submit New Document(s)**

The screenshot shows the 'Submit New Document(s)' form in the OpenEDMS 3.6 application. The interface includes a search bar at the top, a navigation menu with 'Documents', 'Workflows', 'Mail Box', 'News Board', and 'Calendar', and a main form area. The form is titled 'Submit New Document(s)' and contains the following elements:

- STEP 3:** A table titled 'Active Workflow Templates' with columns 'Created by' and 'Date Created'. The table lists one template: 'SIME--Approval of Certification Support Documents' created by 'System Admin' on '2006-09-14'. A red dot and line point to this table.
- STEP 4:** A text field for 'Process Name' containing 'SIME_2007_XXX_LAB'. A red dot and line point to this field.
- Comments:** A text area with a green checkmark icon and the text 'Please review the label of engine family 7XXXM.1961WM.'.
- Start Date:** A text field containing '12/26/2006'.
- Selected File:** A text field containing '\\XXX - Testing MFR Directory (SIME) \\SIME - Spark Ignition Marine Engine\\MY 2007\\2 SUPPORT DOCU'.
- Buttons:** 'Add', 'Remove', 'Submit', 'Reset', and 'Cancel' buttons.

Red dots and lines are used to highlight the specific steps in the process: selecting the template, naming the process, adding comments, and clicking the submit button.

Note: Manufacturers will not **automatically** receive a notification after the new document is submitted to the workflow process. At any time, manufacturers can log in to the DMS to check the status of their documents as described in next section.

5.4 CHECKING THE STATUS OF DOCUMENTS SUBMITTED TO WORKFLOW PROCESSES

Manufacturers can use the following two methods to check if the documents were submitted to the DMS workflow processes.

(1) From the Documents Tab — *Process Manager Sub-tab*

Once you click the “Submit” button as seen in Figure 5-4, the **Pending Process sub-tab** under the **Workflows Tab** will appear (see Figure 5-5). In this screen, you will see a list of your pending processes. Your document was successfully submitted to the workflow process if it is listed on this screen. In Figure 5-5, we see that our example of an Emissions Label document has been submitted successfully since the process name called “SIME_2007_XXX_LAB” is listed in the pending process.

Figure 5-5 Checking the Status of Documents Submitted to the Workflow Process — *Workflows Tab > Pending Process Sub-tab*

The screenshot displays the OpenEDMS 3.6 interface. At the top, there is a search bar with the text "Search Documents by File Title". Below this, there are navigation tabs: Documents, Workflows, Mail Box, News Board, and Calendar. The "Workflows" tab is selected, and the "Pending Process" sub-tab is active. A table lists the pending processes:

Process	Workflow	Created By	Start Date
SIME_2007_XXX_LAB	SIME--Approval of Certification Support Documents (ver 7.0)	mfrxxx	Dec 26, 2006

Annotations and callouts include:

- Pending Workflow Process**: Points to the "Pending Process" sub-tab.
- The Workflow Template in use**: Points to the "Workflow" column in the table.
- The date on which each process was initiated**: Points to the "Start Date" column in the table.
- Search filters: search for the workflow process based on the specified criteria.**: Points to the search filter section, which includes fields for "Start Date: From", "End Date: From", "Process:", and "All Users".
- Switch to open or close "Search filters"**: Points to a toggle switch.

A yellow arrow points from the top screenshot to the bottom screenshot, indicating a transition or action.

(2) From Documents Tab—File Browser Sub-tab


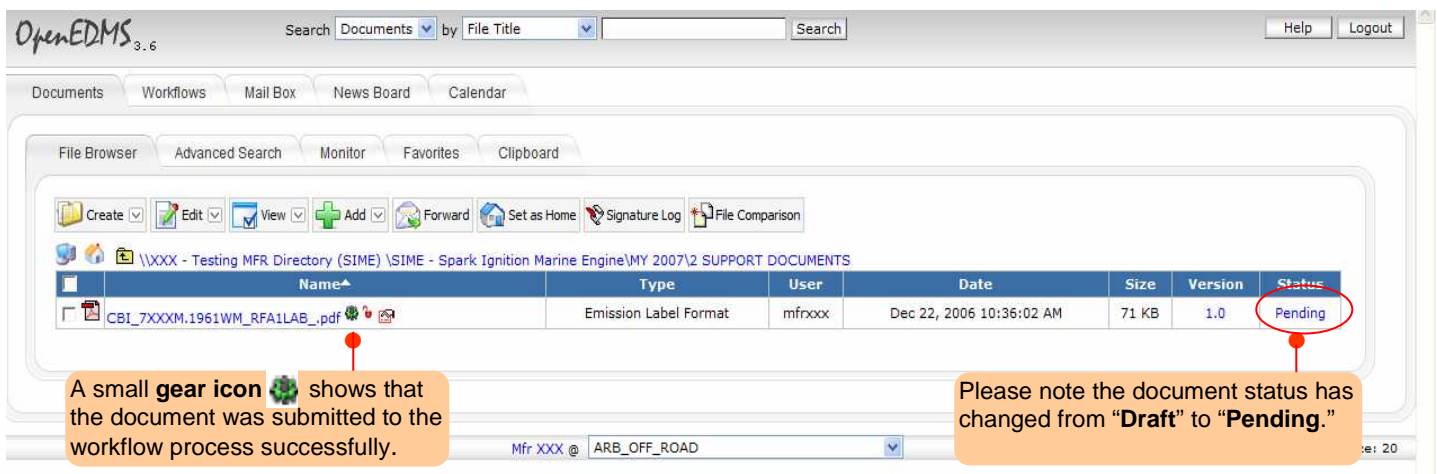

Another method to check the status of documents submitted to the workflow is shown in **Figure 5-6**. From the **File Browser sub-tab** under the **Documents Tab**, you notice that the status of this document has changed from “**Draft**” to “**Pending**.” In addition, a small gear icon  is also present, indicating that the document has been submitted to the workflow process successfully. As a document progresses through the ARB review process, its status will change accordingly (e.g., received, invalid, approved or rejected, etc). If you hold the mouse pointer on top of the green gear icon, the assigned workflow process name will be displayed.

Figure 5-6 Checking the Status of Documents Submitted to the Workflow Process — *Document Tab>File Browser Sub-tab*



The screenshot shows the OpenEDMS 3.6 interface. The top navigation bar includes 'Documents', 'Workflows', 'Mail Box', 'News Board', and 'Calendar'. The 'Documents' tab is active, and the 'File Browser' sub-tab is selected. A search bar at the top allows searching by 'File Title'. Below the search bar, there are tabs for 'File Browser', 'Advanced Search', 'Monitor', 'Favorites', and 'Clipboard'. The 'File Browser' tab contains a toolbar with icons for 'Create', 'Edit', 'View', 'Add', 'Forward', 'Set as Home', 'Signature Log', and 'File Comparison'. Below the toolbar is a table of documents. The table has columns for 'Name', 'Type', 'User', 'Date', 'Size', 'Version', and 'Status'. A red circle highlights the 'Pending' status in the 'Status' column for the document 'CBI_7XXXM.1961WM_RFA1LAB_.pdf'. A red arrow points from a text box to the gear icon next to the document name. Another red arrow points from a text box to the 'Pending' status.

Name	Type	User	Date	Size	Version	Status
CBI_7XXXM.1961WM_RFA1LAB_.pdf	Emission Label Format	mfrxxx	Dec 22, 2006 10:36:02 AM	71 KB	1.0	Pending

A small gear icon  shows that the document was submitted to the workflow process successfully.

Please note the document status has changed from “**Draft**” to “**Pending**.”

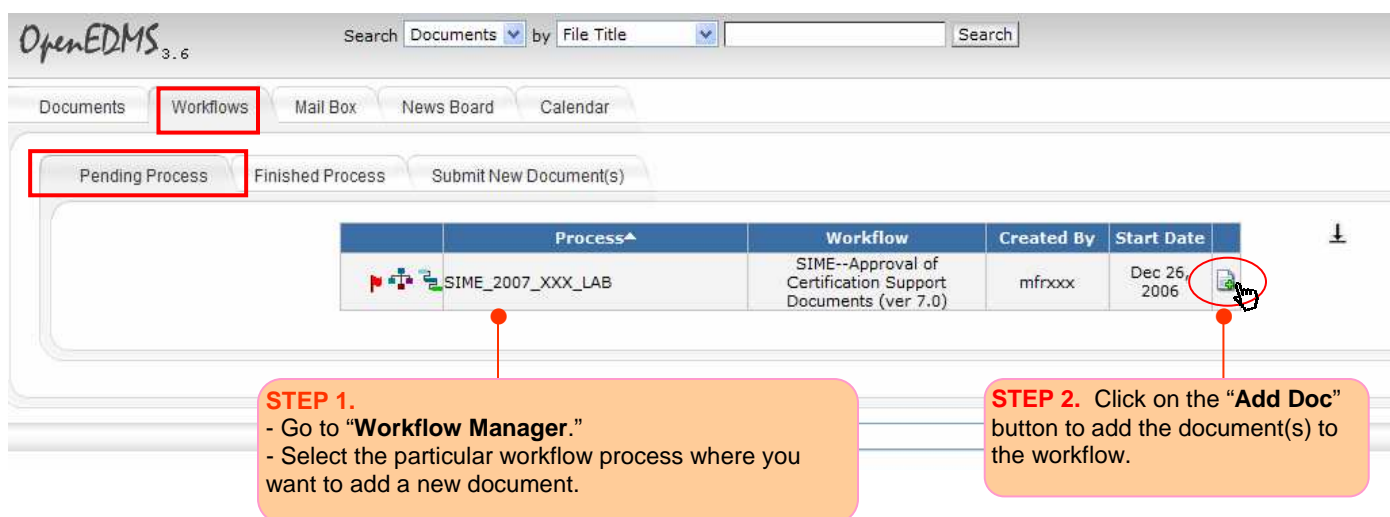
5.5 SUBMITTING ADDITIONAL DOCUMENTS TO THE WORKFLOW PROCESS

Upon reviewing a document, the ARB certification staff may request corrections or need additional information. Below please see a step-by-step example of how additional documents can be submitted to an existing workflow process. These steps are also illustrated in **Figures 5-7** through **5-9**.

STEP 1 — Click on the “**Workflow**” Tab, then click on the “**Pending Processes**” Sub-Tab . Select the particular workflow process where you would like to submit additional documents.

STEP 2 — Click on the “**Add Doc**” button to add the document(s) to the workflow.

Figure 5-7 **How to Submit Additional Documents to an Existing Workflow Process — Workflow Tab>Pending Process Sub-tab**



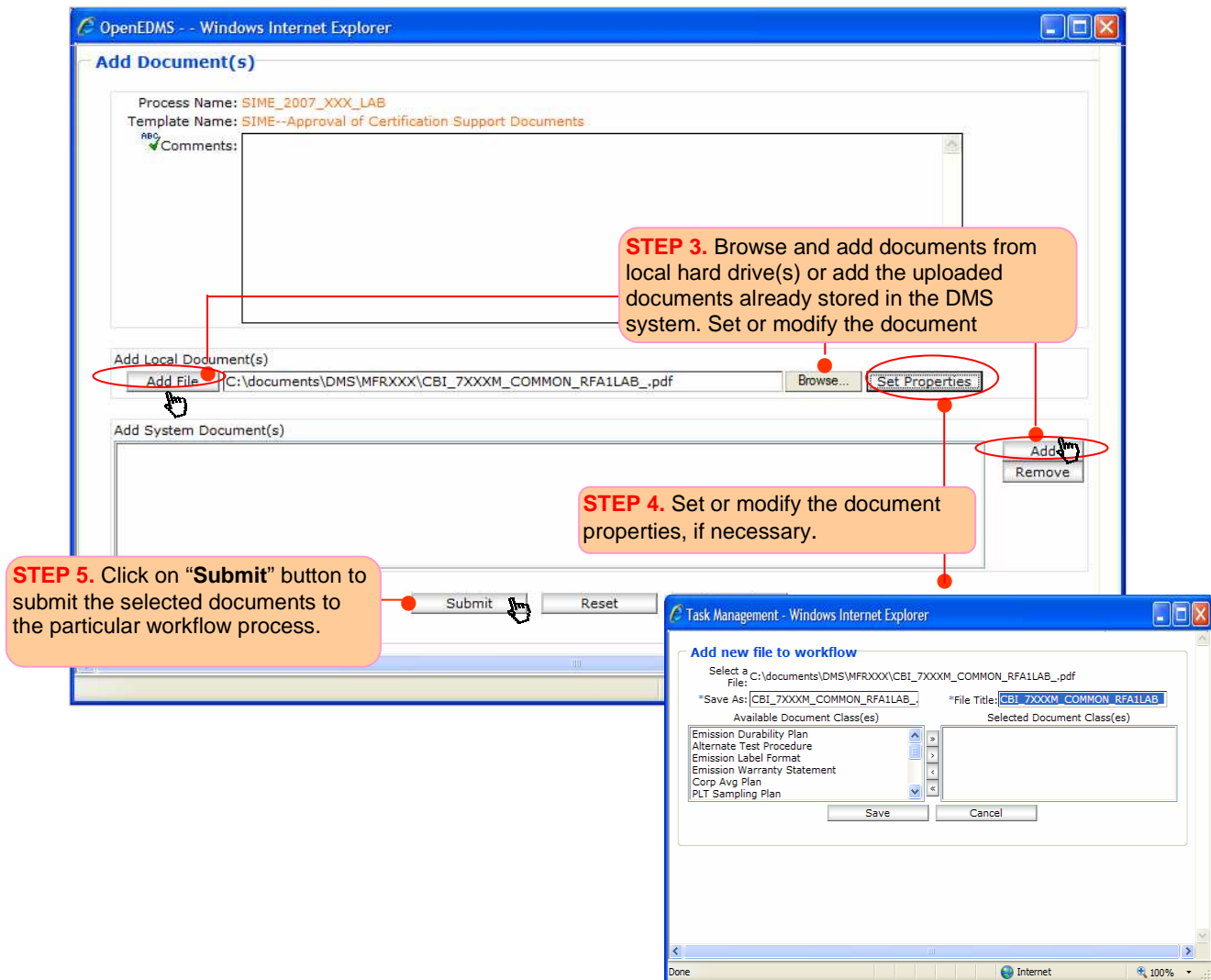
STEP 3 — After the “**Add Doc**” button is clicked, the “**Add Document(s)**” dialog box will appear. In this dialog box, you can click on the “**Browse**” button to browse and add the documents from your local hard drive(s) or you can click on the “**Add**” button if you want to add the documents that have already been uploaded and stored in your DMS manufacturer directory repository.

You can click on the “**Add File**” button if you want to upload additional files from your local hard drive and submit to the particular workflow process.

STEP 4 — To set or modify the document properties, click on the “**Set Properties**” button to open the “**Add new file to workflow**” dialog box. In this dialog box, choose the correct document type and complete the metadata fields as required. Please refer to Section 4.3 for the steps to set up the document properties and complete the metadata information. Once you are done, click the “**Save**” button to close the dialog box. Please remember that when submitting a new version of a file, the file name must be identical to that of the old version in order for the DMS version control to function properly.

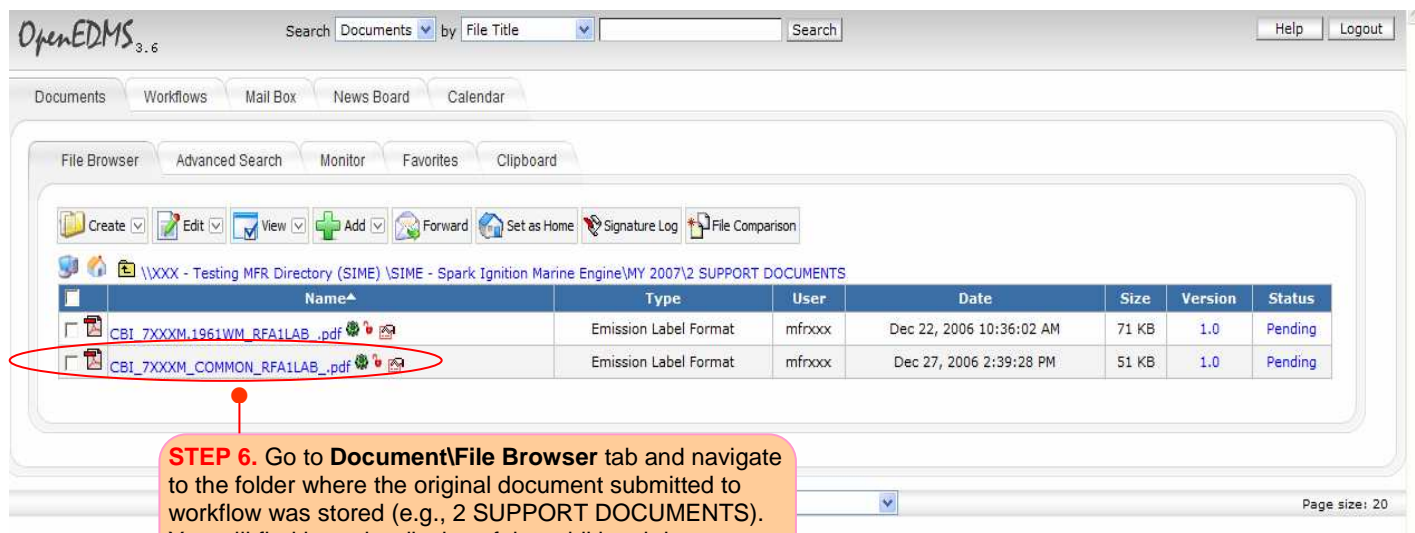
STEP 5 — Click on the “**Submit**” button to complete the submission of your additional documents to the particular workflow process.

Figure 5-8 **How to Submit Additional Documents to an Existing Workflow Process — Add Document(s) Dialog Box**



STEP 6 — To check the status of your additional submission, go to **Document Tab > File Browser Sub-tab** and navigate to the folder where the original document submitted to workflow is being stored (e.g., CBI folder). You will find here the display of the additional document that you just submitted to the same workflow.

Figure 5-9 How to Submit Additional Documents to a Specific Workflow Process — *Checking the Document Status in the File Browser Tab*



OpenEDMS 3.6

Search Documents by File Title Search Help Logout

Documents Workflows Mail Box News Board Calendar

File Browser Advanced Search Monitor Favorites Clipboard

Create Edit View Add Forward Set as Home Signature Log File Comparison

\\XXX - Testing MFR Directory (SIME) \SIME - Spark Ignition Marine Engine\MY 2007\2 SUPPORT DOCUMENTS

Name	Type	User	Date	Size	Version	Status
CB1_7XXXM.1961WM_RFA1LAB_.pdf	Emission Label Format	mfrxxx	Dec 22, 2006 10:36:02 AM	71 KB	1.0	Pending
CB1_7XXXM_COMMON_RFA1LAB_.pdf	Emission Label Format	mfrxxx	Dec 27, 2006 2:39:28 PM	51 KB	1.0	Pending

STEP 6. Go to **Document\File Browser** tab and navigate to the folder where the original document submitted to workflow was stored (e.g., 2 SUPPORT DOCUMENTS). You will find here the display of the additional document that you just submitted to the same workflow.

Page size: 20

6. ADDITIONAL ARB DMS FEATURES

6. ADDITIONAL ARB DMS FEATURES

In this section, you will learn how to use the following additional features in the ARB DMS, including:

- Linking Files
- Document Check-Out/Check-In
- Version Comparison and Promotion
- Simple Search and Advanced Search

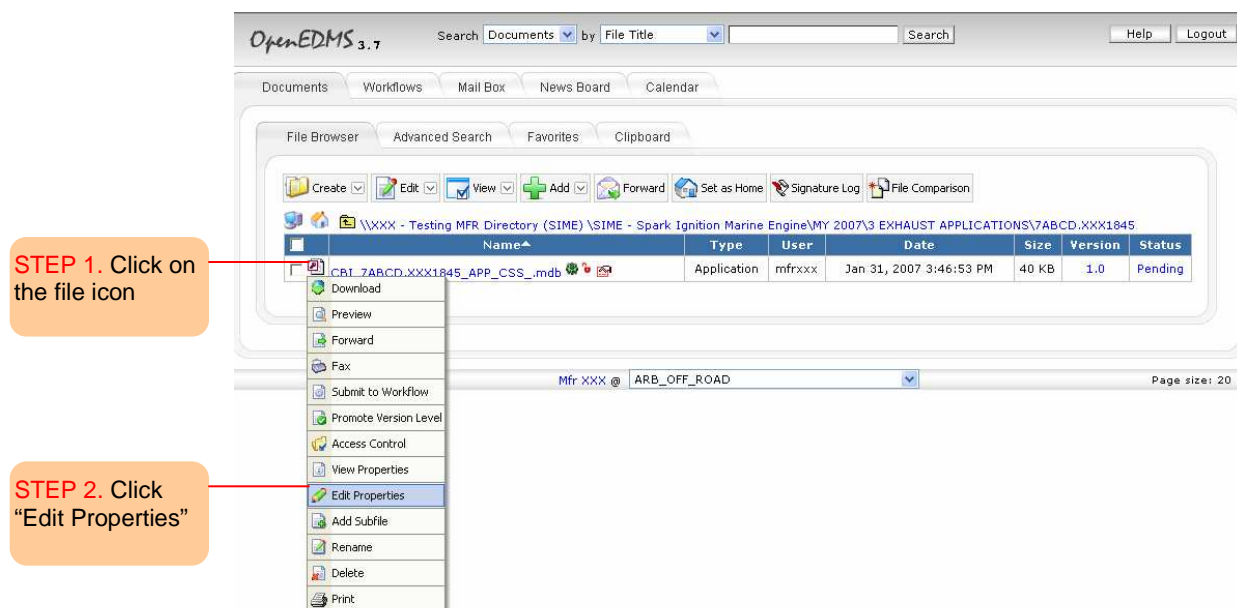
6.1 LINKING FILES

Using the **DMS Link Management** feature, you can link related documents or supporting material stored in remote folders across the repository for convenient document referral and comparison. For example, if you submitted a durability plan two years ago and it is still applicable, you do not need to resubmit it. You only need to link the existing durability plan with the applicable engine family or test group document. You should then write a clarification note in the “**Comments**” box when submitting your engine family or test group files to the workflow process (as illustrated in **Figure 5.4** and **Figure 5.8**). The system will allow you to link multiple documents of different kinds.

Below are step-by-step examples of how to perform the file linking.

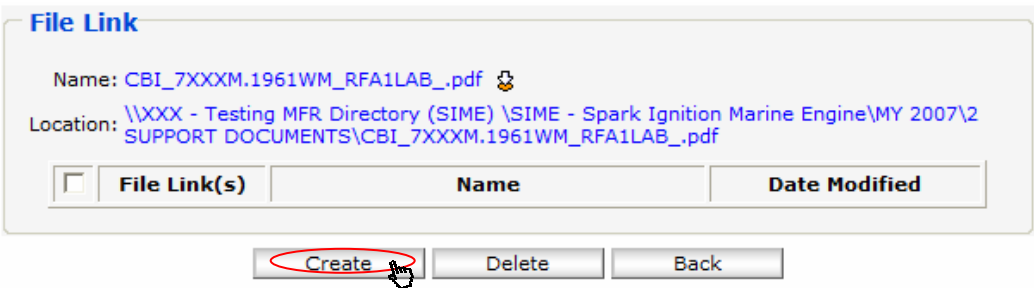
STEP 1 — To add a link, first left click on the icon of the source document. This will open a drop-down file operational menu. See **Figure 6-1**.

Figure 6-1 **How to Perform the File Linking — File Browser Screen>Link Management Function**



STEP 2 — Click on the **Edit Properties** menu item as shown in **Figure 6-1** to open the **File Link dialog box** that is located in the link tab as seen in **Figure 6-2**.

Figure 6-2 **How to Perform the File Linking— File Link dialog box**



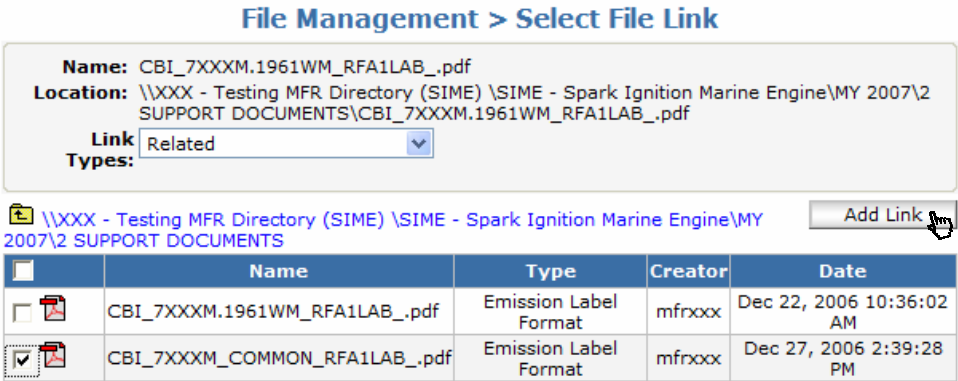
STEP 3 — Click on the “**Create**” button in **Figure 6-2** to open the “**Select File Link**” dialog box shown in **Figure 6-3**.

STEP 4 — Navigate to the target document and click on its checkbox to select it. Once the document is selected, if necessary, click on the drop-down **Link Type** list to specify the nature of the linked document’s relationship to the source document.

STEP 5 — Choose “**Related**” in the “**Link**” pull down menu. *Related indicates that the files are related to each other. The other items listed are not applicable.*

STEP 6— Click on “**Add Link**” button to link the selected document(s) to the source document.

Figure 6-3 **How to Perform the File Linking — “Select File Link” dialog box**



Once the document is linked, it is added to the list, as it is shown in **Figure 6-4-a**. You can see the properties of a linked file by clicking on the view properties icon 📎. The properties of the linked document will be displayed as shown in **Figure 6-4-b**.

STEP 7—Save the new link(s) by clicking on “**Update**” button.

Figure 6-4 How to Perform the File Linking — *View Properties*

File Link

Name: CBI_7XXXM.1961WM_RFA1LAB_.pdf 📄

Location: \\XXX - Testing MFR Directory (SIME) \SIME - Spark Ignition Marine Engine\MY 2007\2 SUPPORT DOCUMENTS\CBI_7XXXM.1961WM_RFA1LAB_.pdf



<input type="checkbox"/>	File Link(s)	Name	Date Modified
<input type="checkbox"/>	Related	 CBI_7XXXM_COMMON_RFA1LAB_.pdf	Dec 27, 2006 12:00:00 AM

Figure 6-5 How to Perform the File Linking — *Display Properties of linked file*

Refresh: 

File Properties

File Name: CBI_7XXXM_COMMON_RFA1LAB_.pdf 📄

File Title: CBI_7XXXM_COMMON_RFA1LAB_

Directory Path: \\XXX - Testing MFR Directory (SIME) \SIME - Spark Ignition Marine Engine\MY 2007\2 SUPPORT DOCUMENTS

Retention Policy: N/A

Size: 51 KB

File Status: Pending

As Template: No

Created By: mfrxxx - Wednesday, December 27, 2006 2:39:28 PM

Last Update By: mfrxxx - Wednesday, December 27, 2006 2:39:28 PM

Last Access By: mfrxxx - Wednesday, December 27, 2006 2:39:28 PM

File Links: [Click here to manage links](#)

Emission Label Format

Manufacturer: xxx

Submit Date: 2006-12-27 14:39:28.6

Eng Family: common


Approval Num:

Label Type: Engine

Category: SIME

Cert. Type: Exhaust

Rating: N/A

Check in Status:  Checked in

Signature: N/A

Information:

Version Cycle: None

Version: 1.0

Resource ID: 64834

Encrypted: false Bar Code:

RSS Publish: false

Print Limit:

Keyword:

6.2 DOCUMENT CHECK-OUT/CHECK-IN

In the ARB DMS, the “**check-out/check-in**” mechanism protects document integrity by preventing users from making simultaneous changes, by forestalling inadvertent overwrites of important data, and by ensuring that the most current document version is always displayed in the **File Browser**.

In order to effect changes to a document stored in the repository, the file must first be checked out (i.e., downloaded to a local machine) before an updated version containing the saved changes is checked back in (i.e., uploaded back to the server). Below please see an example of check-out/check-in status of the two documents.

Figure 6-6 Check-out/Check-in Status of Documents

	Name^	Type	User	Date	Version	Status
	CBI_7ABCM_Common_RFA1ABT_.pdf	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
	Title13Testing-template.doc	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending

The small padlock icon indicates whether the file is currently checked-in (🔒) or checked-out (🔓). When a document is checked-out, its contents may still be viewed by other users but no further changes are permitted until the file has been checked back in.

To check a file out of the repository, click on the small open padlock icon 🔓 and install the Java plug-in if prompted (Note: this plug-in only needs to be installed once).

When checking out a file for the first time, the user will be asked to select a working folder in which the current file will be temporarily stored during modification; all checked-out documents will subsequently be saved to the same directory path.

Once all desired changes have been saved, return to the **File Browser** and click on the closed padlock icon 🔒 to check the updated version of the file back in to the repository.

Below please see a step-by-step example showing how to check out and check in documents in the ARB DMS.

STEP 1 — Click on the small open padlock icon 🔓 next to the file that you want to check out.

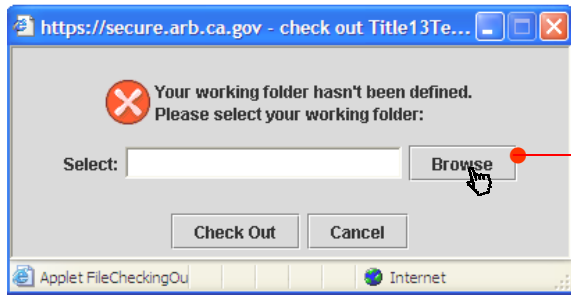
\\XXX - Testing MFR Directory (SIME) \SIME - Spark Ignition Marine Engine\MY 2007\1 CORRESPONDENCE

	Name	Type	User	Date	Size	Version	Status
	Title13Testing-template.doc	Correspondence	mfrxxx	Dec 28, 2006 2:48:13 PM	62 KB	1.0	Draft
	AUTHORIZATION LETTERS			Aug 17, 2006 10:52:19 AM	N/A	N/A	
	EMAIL			Aug 17, 2006 10:52:19 AM	N/A	N/A	

STEP 1: Click on the small padlock icon. 🔓

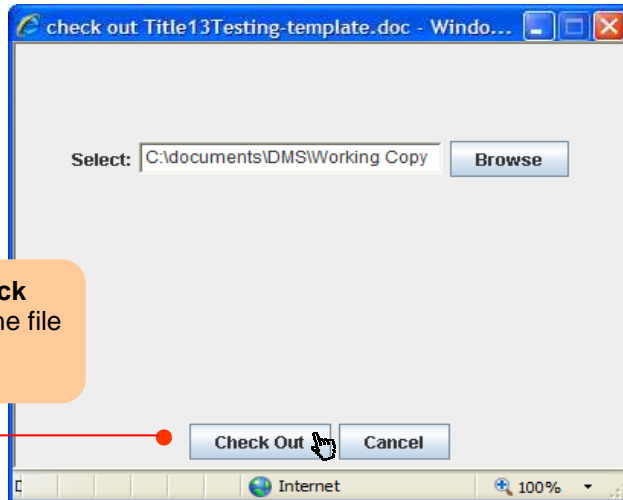
The original version number is 1.0 before the document is checked out.

STEP 2 — When you are checking out a file for the first time, a dialog box for the selection of a working folder will be prompted.



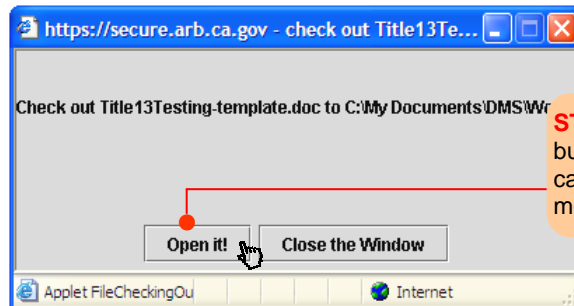
STEP 2: Click on the **"Browse"** button to define your working folder.

STEP 3 — After the working folder is selected, click on the **"Check Out"** button to check out the file.




STEP 3: Click on the **"Check Out"** button to check out the file for modification.





STEP 4 — After you click on the **"Check Out"** button, a message box will appear. Click on the **"Open It!"** button to initiate an application which can open and edit the document based on the associated document format. In this demonstration, **Microsoft Word** will automatically initiate and open the document for modification.




STEP 4: Click on the **"Open It!"** button to initiate an application which can open the document for modification.

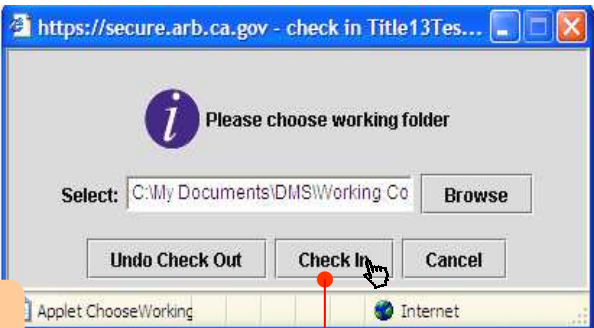
STEP 5 — Once all the desired changes have been made, save and close the application (Microsoft Word), and return to the **File Browser**.

Click on the closed padlock icon  to open the following 1st message box. Click on the “**Check In**” button to check the updated document back into the repository. After clicking “**Check In**” button, the 2nd message box will appear. Click on the “**Close the Window**” to finish the “**check-out/check-in**” process.

	Name^	Type	User	Date	Version	Status
	CBI_7ABCM_Common_RFA1ABT_.pdf 	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
	Title13Testing-template.doc 	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending

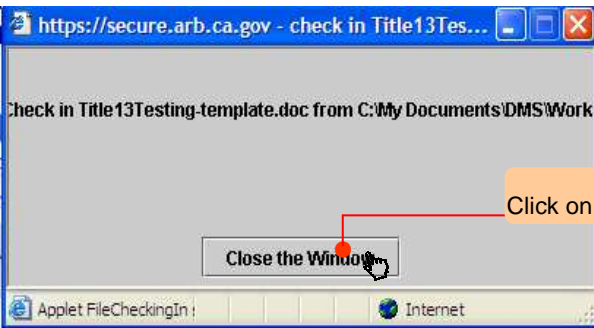
STEP 5: click on the closed padlock icon .

1st Message Box









Click on the “**Check In**” button.

2nd Message Box



Click on the “**Close the Window**” button.

	Name^	Type	User	Date	Version	Status
	CBI_7ABCM_Common_RFA1ABT_.pdf 	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
	Title13Testing-template.doc 	ABT Report	mfrxxx	Jan 30, 2006	1.1	Pending

After the document is checked in, the closed padlock icon  will change back to open padlock icon. 

After the document is checked in, the version number changes from 1.0 to 1.1.

6.3 VERSION COMPARISON AND PROMOTION

6.3.1 Version Comparison

Each time a document is checked back into the repository after alterations on a local machine, the ARB DMS will automatically create and securely store a new version so that no previous version is ever overwritten. To perform a **Version Comparison** between the different versions of the document, please follow the step-by-step example described below. Only two versions can be compared at a time.

STEP 1. Click the version number “1.1” to open the **Version History** screen.

	Name▲	Type	User	Date	Version	Status
	CBI_7ABCM_Common_RFA1ABT_.pdf	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
	Title13Testing-template.doc	ABT Report	mfrxxx	Jan 30, 2006	1.1	Pending

STEP 2. Click the check boxes next to two different versions of the document that you want to compare.

Version History Screen

File Management > Version History

Back

Compare

Resource Name: Title13Testing-template.doc

\\XXX\SIME - Spark Ignition Marine Engine\2007\Exhaust\Common\CBI\Title13Testing-template.doc

Ver #	User	Date	Status	Comments
<input checked="" type="checkbox"/> 1.1 <div></div>	mfrxxx	Jan 10, 2006	Draft	
<input checked="" type="checkbox"/> 1.0 <div></div>	mfrxxx	Jan 10, 2006	Draft	

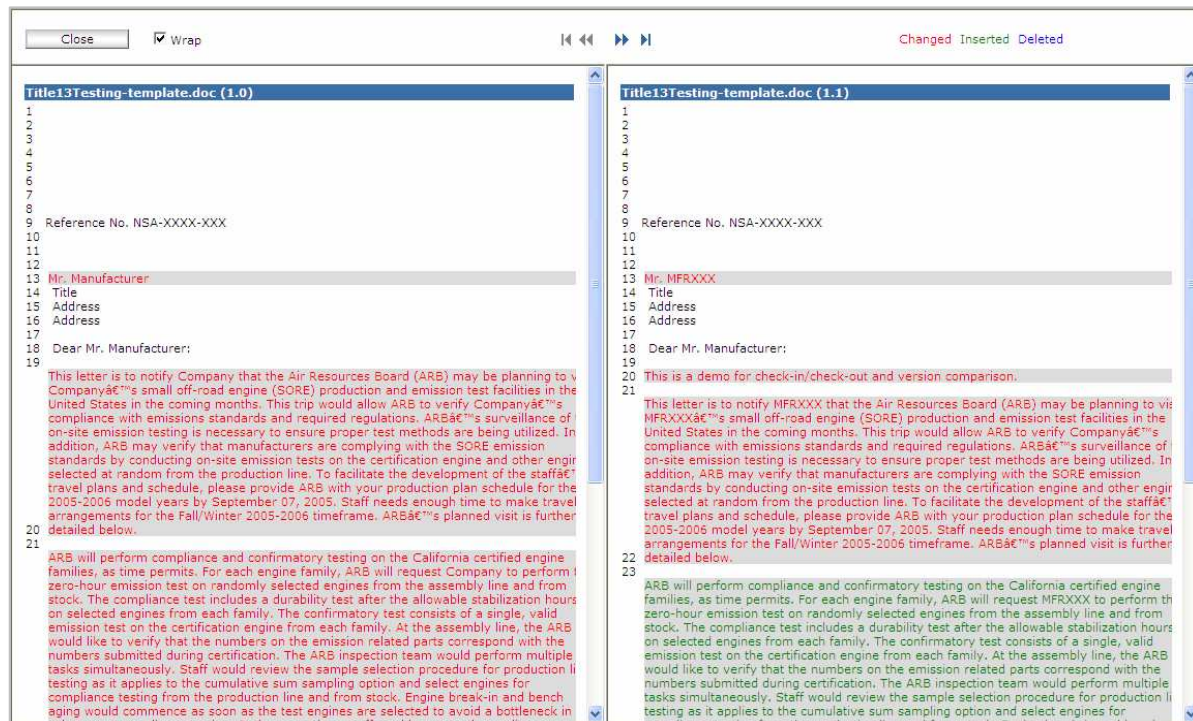
STEP 3. Click on “Compare” button to open the “Comparison Summary” screen.


Comparison Summary Screen

Back	Details	Wrap	Comparison Summary	Changed	Inserted	Deleted
Title13Testing-template.doc (1.0)						
13	Mr. Manufacturer					
20	This letter is to notify Company that the Air Resources Board (ARB) may be planning to visit C					
22	ARB will perform compliance and confirmatory testing on the California certified engine famili					
Title13Testing-template.doc (1.1)						
13	Mr. MFRXXX					
20	This is a demo for check-in/check-out and version comparison.					
22	This letter is to notify MFRXXX that the Air Resources Board (ARB) may be planning to visit MF					
24	ARB will perform compliance and confirmatory testing on the California certified engine famili					
25						

STEP 4. Click on the “Detail” button to see “Detailed Comparison” screen, if desired.

Detailed Comparison Screen



To view the properties of a particular version, simply click the desired version number in the **Version History** dialog to open the **File Properties** screen. Click on the red notebook icon  to add version comments.

File Management > Version History

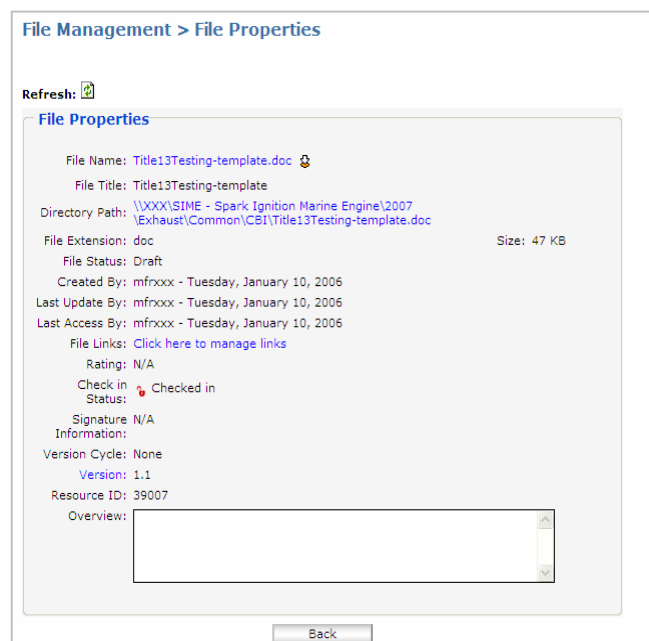
Back

Compare

Resource Name: Title13Testing-template.doc

\\XXX\SIME - Spark Ignition Marine Engine\2007\Exhaust\Common\CBI\Title13Testing-template.doc

Ver #	User	Date	Status	Comments
<div> <input checked="" type="checkbox"/> 1.1 <div> </div> </div>	mfrxxx	Jan 10, 2006	Draft	
<div> <input checked="" type="checkbox"/> 1.0 <div> </div> </div>	mfrxxx	Jan 10, 2006	Draft	



6.3.2 Version Promotion

In the ARB DMS, you can also manually promote the version level of a document by following the steps in the example described below.

File Management > File Browser

STEP 1. Left click the file icon next to the document that you want to promote the version level to open the drop-down file operational menu.

STEP 2. Click **"Promote Version Level"** to open the **Version Promotion** screen below.

Original version number is 1.1

Version Promotion Screen



File Management > Version Promotion

Version Promotion





Title13Testing-template.doc 1.1 will be promoted to the next level 2.0

Comments

Promote **Cancel**

STEP 3. Click on the “**Promote**” button to promote the version number from 1.1 to 2.0.

After clicking on the “**Promote**” button, you will notice that the version number has been changed from 1.1 to 2.0. Use the version promotion option if you submit a new version of a document that already has been approved.

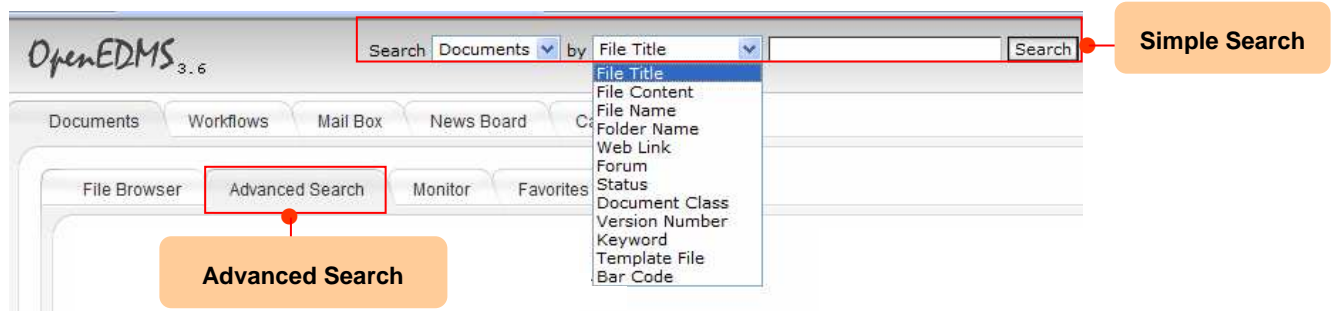
	Name^	Type	User	Date	Version	Status
	CBI_7ABCM_Common_RFA1ABT_.pdf 	ABT Report	mfrxxx	Jan 30, 2006	1.0	Pending
	Title13Testing-template.doc 	ABT Report	mfrxxx	Jan 30, 2006	2.0	Pending

6.4 SIMPLE SEARCH AND ADVANCED SEARCH

The ARB DMS is using the **OpenEDMS** search engine to ensure that any information resource contained anywhere within the repository can be instantly accessed and retrieved.

With minimum input, users can recover the information needed using a variety of flexible search parameters to pinpoint the precise location of specific files and folders. Two search tools (**Simple Search** and **Advanced Search**) provided by the ARB DMS are briefly described below.

ARB DMS Search Tool Menu



6.4.1 Simple Search

A **Simple Search** may be conducted using any one of the following parameters:

- **File Title:** This search will retrieve documents with a corresponding file title. File titles may optionally be provided when creating a new document (the system automatically adopts the default file source name unless otherwise specified).
- **File Content:** This is a free-text search that will locate any file by the phrase or keywords provided. By default, the results will be sorted in descending order according to the number of hits. To view each instance of the keyword within the displayed document(s), click on the green hit number beside the file name.
- **File Name:** This search will locate documents based on their file name. A file name is defined by the system as any text string that could be contained within the file name (e.g., if “pdf” is entered into the search field, all files with the extension pdf – in upper, lower or mixed case – will occur in the search results). Any file with the characters pdf in the file name will also be included (e.g., “mypdftest.txt”).
- **Folder Name:** This search will identify the location of a particular folder based on its assigned name.
- **Web Link:** This search will retrieve any URL hyperlink created within the repository on the basis of its name.
- **Forum:** This search will find any forum created within the repository based on its name.

Search results will be listed alphabetically in the **File Browser**.

6.4.2 Advanced Search

In addition to the basic search parameters enumerated above, an **Advanced Search** may be conducted according to user-defined search filters containing any combination of the parameters listed below.

Advanced Search dialog box


The screenshot shows the 'Advanced Search' dialog box with several tabs: 'File Browser', 'Advanced Search', 'Monitor', 'Favorites', and 'Clipboard'. The 'Advanced Search' tab is active. It features a 'Saved Filters' section on the right with a 'Name' field and buttons for 'Delete', 'Get Filter', and 'Rename'. The main search area includes fields for 'Folder Name', 'File Title', 'File Name', 'Document Class' (set to 'ABT Report'), 'Status' (set to 'any status'), 'Created By', 'Updated By', 'Containing Text', 'Keyword', and 'Sort By' (set to 'relevance'). There are also checkboxes for 'Fuzzy', 'Stemming', 'Phonic', and 'Synonym'. At the bottom, there are date range fields for 'Created From', 'Updated From', and 'Accessed From', each with a 'To' field. A red box highlights the 'Document Class' dropdown and the date range fields. An orange callout box points to the 'Document Class' dropdown with the text: 'Search by **Document Type(s)** to open the metadata dialog box.' Another orange callout box points to the date range fields with the text: 'Search by a specified date range.' A third red box highlights the metadata fields on the right, including '* Manufacturer', '* Model Year', 'Approval Num', '* Category', '* Report Type', '* Submit Date', and 'Cert. Type', with a 'Reset' and 'Search' button at the bottom.

- **Document Type(s):** Document type(s) are preconfigured by the ARB DMS administrator and may consist of any number of customized **metadata attributes**. Please refer to **Section 2.3 Document Type and Metadata** for further information.

As described in Section 2.3, every document type is distinguished by an associated series of identifying characteristics, or **Metadata**. Once a document type has been selected, its assigned metadata attributes may be used as search criteria. For example, an “ABT Report” document type with metadata fields *Manufacturer*, *Model*, *Year*, *Approval Number*, *Category*, and *Report Type*, etc. could be searched by one or more of these metadata attributes.

Depending upon the configuration of the metadata, multiple selections may often be available for any given field. Users may click on the drop-down list to view the various options.

Note: Users are not required to complete all the metadata fields to perform an advanced search based on the document type.

-
- **Search From:** By default, the search range is confined to the current directory path so that only those files or folders contained within the present folder and its subfolders will be included. Alternatively, the search range may be extended to the entire repository so that all domain content will be included. To extend the search range to the entire repository, click the root directory icon .

Note: only those files and folders to which the user has been granted read permission will be accessible to the user in the search results.

- **Created By:** To search for a document on the basis of the user ID of the original author/up loader.
- **Updated By:** To search for a document using the name of the individual who last modified the document.
- **Creation Date Range:** To search for a document created within a particular timeframe.
- **Update Date Range:** To search for a document updated within a particular timeframe.
- **Access Date Range:** To search for a document based on its last access date.
- **Search Type:** When searching for specific content, a user may stipulate whether the file(s) must contain all of the words, any of the words, or the exact phrase.
 - Any of the Words: This parameter will retrieve all documents containing any of the specified words. Words may be grouped into phrases by quotation marks, in which case the entire phrase must appear in the document for it to be considered a match.

Inserting a plus sign (+) in front of any word or phrase will add it to the search criteria; inserting a minus sign (-) in front of any word or phrase will exclude from the search any document in which the denoted word or phrase occurs.
 - All of the words: This parameter requires that all of the provided words and phrases are present in a document for it to be considered a match.
 - Exact phrase: This parameter treats the search text as a single phrase and only retrieves documents containing an exact match.
 - Boolean: This parameter retrieves a structured group of words or phrases linked by *and*, *or*, *not*, *w/*.

7. NEW DMS FEATURES

7. NEW DMS FEATURES

This section provides an overview of the new features included in OpenEDMS version 3.7, available to manufacturers in the ARB DMS system.

7.1 NEW FEATURE OF CLIP BOARD WINDOW

The Clip Board window (see Figure 7-1) used to copy and paste documents now can be resized to see the complete path and entire file name. This should facilitate the selection of the document or folder to be copied as illustrated in figure 7-1 and 7-2.

Figure 7-1 Original Clip Board Window

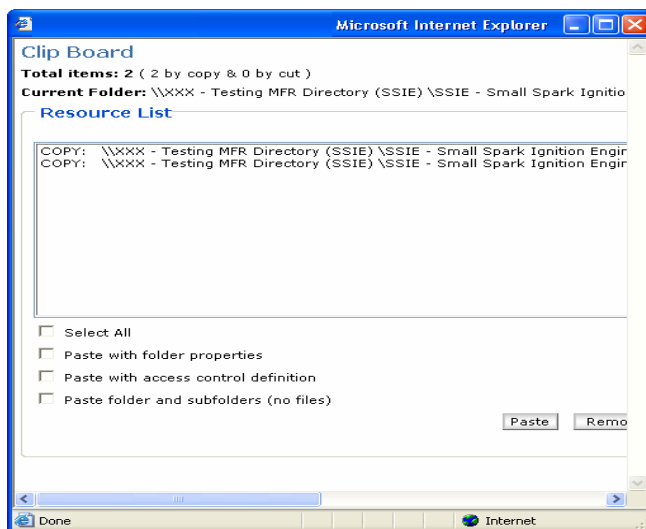
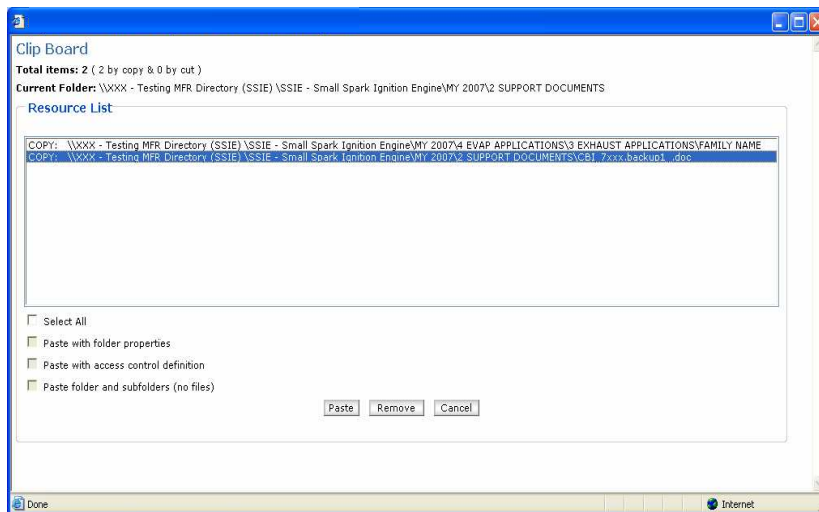


Figure 7-2 Expanded Clipboard



Additionally, the content of the clipboard can be accessed directly. Just click on the clipboard tab.

7.2 IMPROVED FEATURE OF LINKING DOCUMENTS

The linking documents feature has been improved in the new version, the process to link documents is slightly different. To link one or more document(s) to an existing one “Q1”, please left click on the icon of the document “Q1”. Then select “**Edit Properties**”. The system will bring-up the Edit properties tab screen used to upload document “Q1” which is shown in **Figure 7-3**. Notice that a new “**Link**” tab is available. Click on the “**Link**” tab to add or remove links as shown in **Figure 7-4**

Figure 7-3 Tabs to Edit the Properties of a Document

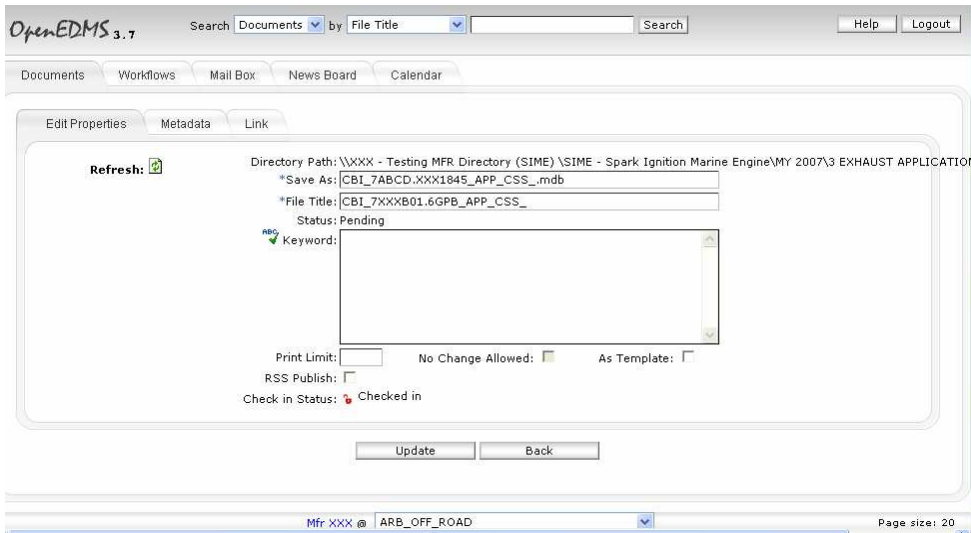
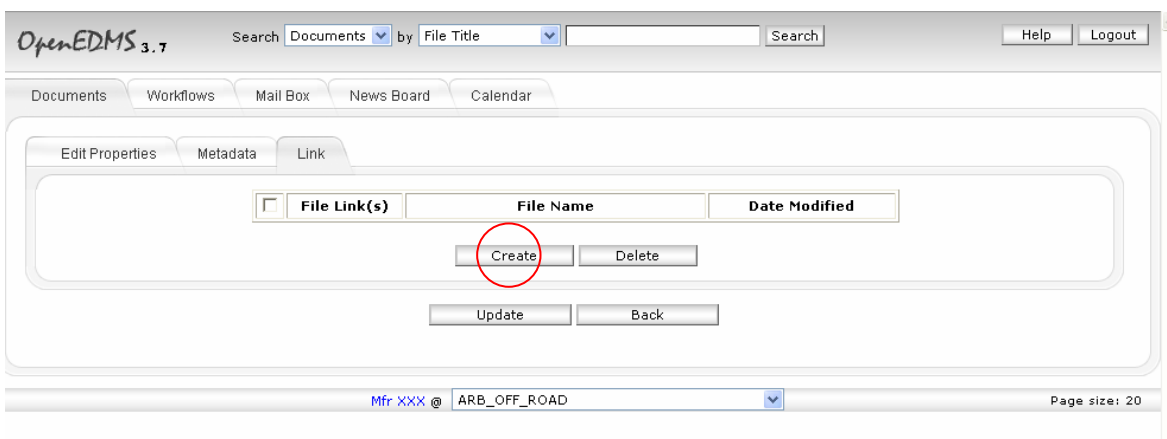


Figure 7-4 File “Link” Tab



Once you are on the “**Link**” tab, click on the “**Create**” button, and then browse for the document “E1” that you want to link to (“Q1”). If you want to navigate, click on the folder icons to expand them and move further inside of the directory structure.

Select the document(s) “E1” that you want to link, next click on the “Add Link” button as illustrated on **Figure 7-5**.

Figure 7- 5 “Select File Link” Window

File Management > Select File Link

Name: CBI_7ABCD.XXX1845_APP_CSS_.mdb

Location: \\XXX - Testing MFR Directory (SIME) \SIME - Spark Ignition Marine Engine\MY 2007\3 EXHAUST APPLICATIONS\7ABCD.XXX1845\CBI_7ABCD.XXX1845_APP_CSS_.mdb

Link Types: Related

\\XXX - Testing MFR Directory (SIME) \SIME - Spark Ignition Marine Engine\MY 2007\2 SUPPORT DOCUMENTS

Add Link

	Name	Type	Creator	Date
<input checked="" type="checkbox"/>	CBI_7XXXD_COMMON_RFA3DFP_.doc	Emission Durability Plan	mfrxxx	Jan 31, 2007 3:22:44 PM
<input type="checkbox"/>	CBI_7XXXM.1961WM_RFA1LAB_.pdf	Emission Label Format	mfrxxx	Dec 22, 2006 10:36:02 AM
<input type="checkbox"/>	CBI_7XXXM_COMMON_RFA1LAB_.pdf	Emission Label Format	mfrxxx	Dec 27, 2006 2:39:28 PM

Figure 7.6 shows that the selected file was added to the list of linked files. You can link as many files as you need. To link more documents click again the “Create” button, to exit and save your changes click the “Update” button.

Figure 7- 6 List of Linked Files

OpenEDMS 3.7 Search Documents by File Title Search Help Logout

Documents Workflows Mail Box News Board Calendar

Edit Properties Metadata Link

File Link(s)	File Name	Date Modified
<input type="checkbox"/> Related	CBI_7XXXD_COMMON_RFA3DFP_.doc	Jan 31, 2007 12:00:00 AM

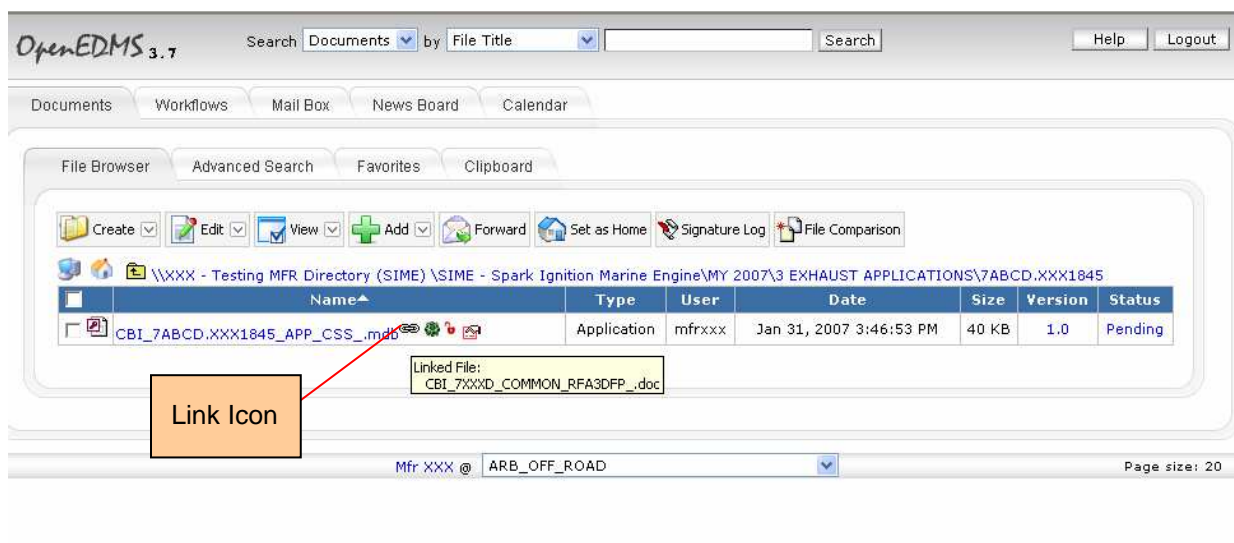
Create Delete

Update Back

Mfr XXX @ ARB_OFF_ROAD Page size: 20

Once you link a file, a “**Link**” icon is displayed after the file name inside the file browser tab as illustrated on **Figure 7-7** . If you move the mouse pointer on top of the “**Link**” icon, it will display the name of the file(s) that are linked to it. With this new feature, you can know when a document has linked files without having to view the properties of the document.

Figure 7-7 File Browser – File Link Icon



7.3 CHECKING IN A NEW VERSION OF AN EXISTING DOCUMENT

When a new version of a document is uploaded, it must be saved with the same document name and in the same location. If this rule is followed, the system automatically adds the metadata based on what you entered before. It also checks in the document, increases the document version number, and if the document was already in the workflow, the system sends a notification to the assigned ARB certification representative. (Please be aware that the file name is case sensitive including the file extension.)

Figures 7-8 to 7-11 illustrate the main changes in the process of uploading a new version of an existing document.

Figure 7- 8 Uploading A New Version Of An Existing Document– “Create File” Tab

The screenshot shows the OpenEDMS 3.6 interface with the 'Create File' tab selected. The 'Metadata' sub-tab is active, displaying the following information:

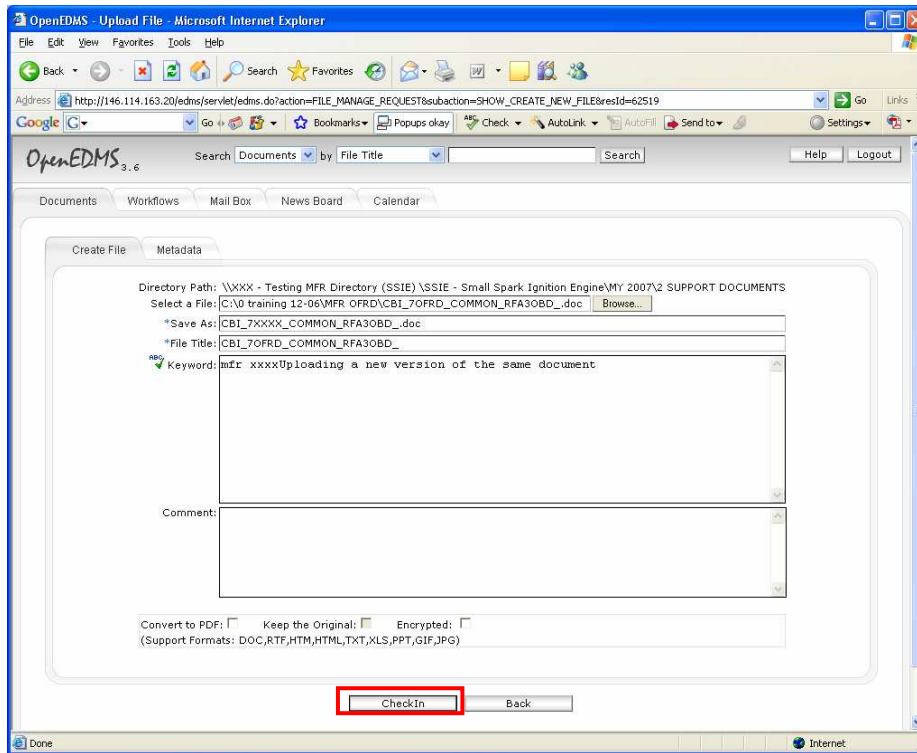
- Directory Path: \\XXX - Testing MFR Directory (SSIE)\\SSIE - Small Spark Ignition Engine\\MY 2007\\2 SUPPORT DOCUMENTS
- Select a File: C:\\0 training 12-06\\MFR_OFRD\\CBI_7OFRD_COMMON_RFA30BD_.doc (with a 'Browse...' button)
- *Save As: CBI_7XXXX_COMMON_RFA30BD_.doc (highlighted with a red box)
- *File Title: CBI_7OFRD_COMMON_RFA30BD_
- Keyword: Uploading a new version of the same document (with a 'NEO' icon and a green checkmark)
- Options: Convert to PDF: ☐ Keep the Original: ☐ Encrypted: ☐ (Support Formats: DOC,RTF,HTM,HTML,TXT,XLS,PPT,GIF,JPG)
- Buttons: Upload (highlighted with a red box) and Back

Figure 7-8 shows that the metadata information is in a separate tab. If you are uploading a new version of an existing document, please use exactly the same name for the version control to work properly. The system recognizes that the file exist and will ask you if you want to check in the document as shown in **Figure 7-9**. Please click the “OK” button, the screen on **Figure 7-10** will show up.

Figure 7- 9 Uploading A New Version Of An Existing Document– Pop-up Message Box



Figure 7- 10 Uploading A New Version Of An Existing Document– “Checking In “the Document”



Comparing **Figure 7-8** and **7-10**, we can see that the left lower button changed from “Upload” to “Check In”. Please click on the “Check In” button. The system will upload the new version and increase the version number as illustrated on **Figure 7-11**.

Figure 7- 11 Uploading A New Version of An Existing Document– Automatic Version Control

File Browser Advanced Search Monitor Favorites Clipboard							
<div> <div>Create</div> <div>Edit</div> <div>View</div> <div>Add</div> <div>Forward</div> <div>Set as Home</div> <div>Signature Log</div> <div>File Comparison</div> </div>							
\\XXX - Testing MFR Directory (SSIE)\\SSIE - Small Spark Ignition Engine\\MY 2007\\2 SUPPORT DOCUMENTS							
	Name	Type	User	Date	Size	Version	Status
<input checked="" type="checkbox"/>	CBI_7XXXX_COMMON_RFA30BD_.doc	Auxiliary Engine Cooling	mfrxxx	Jan 10, 2007 4:17:49 PM	41 KB	1.1	Draft
Keyword: mfr xxxxUploading a new version of the same document							
<input type="checkbox"/>	CBI_7XXX_wodelegate_.doc	Alternate Test Procedure	mfrxxx	Dec 11, 2006 5:14:35 PM	41 KB	1.0	Complete
<input type="checkbox"/>	CBI_7xxx.backup1_.doc	Alternate Test Procedure	mfrxxx	Dec 11, 2006 5:09:13 PM	41 KB	1.0	Complete
Keyword: Testing backup person							
<input type="checkbox"/>	CBI_70FRD04.submitted inside_.doc		IVON_MFR	Dec 11, 2006 3:24:52 PM	41 KB	1.0	Pending
<input type="checkbox"/>	CBI_7XXXX_COMMON_RFA3LAB_.doc	Emission Label Format	mfrxxx	Dec 7, 2006 5:43:51 PM	41 KB	1.3	Approved
Keyword: Uploaded and submitted by mfr xxx							
<input type="checkbox"/>	CBI_7XXXD_COMMON_RFA3WAR_.doc	Emission Warranty Statement	IVON_MFR	Dec 7, 2006 3:51:58 PM	41 KB	1.2	Pending
Keyword: Warranty							
<input type="checkbox"/>	CBI_7XXX2_COMMON_RFA3WAR_.pdf	Emission Warranty Statement	mfrxxx	Dec 7, 2006 9:58:36 AM	59 KB	1.0	Received
Keyword: Warranty convert to PDF							

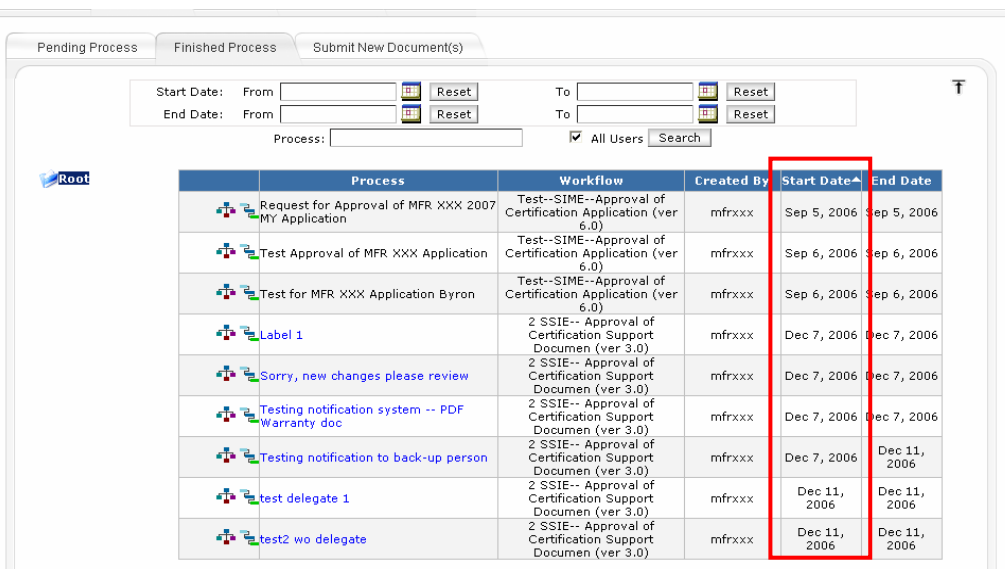
7.4 IMPROVED CHECK-IN/CHECK-OUT MECHANISM

The check in/ check out mechanism is easier to use. Please follow the procedures described in Section 6.2

7.5 NEW FEATURES TO MANAGE WORKFLOW PROCESS LISTS

In the new version, the list of pending or finished processes can be sorted by any column. Just click on the header of the desired column to be sorted. This is illustrated in Figures 7-12 and 7-13.

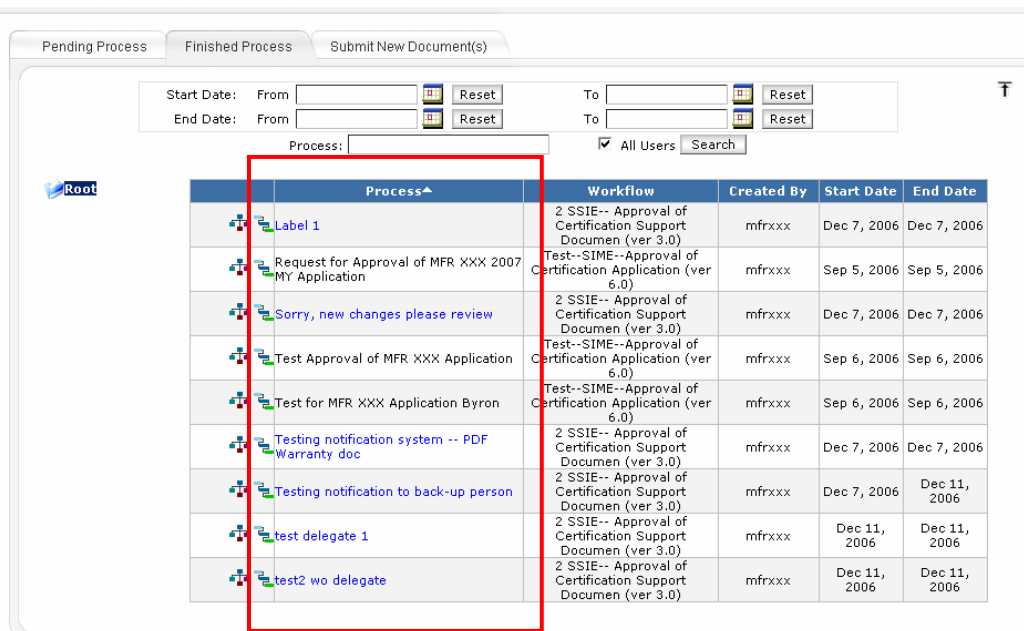
Figure 7- 12 Workflow Processes Sorted by “Start Date”



The screenshot shows the ARB DMS interface with the 'Pending Process' tab selected. The workflow processes are sorted by 'Start Date'. The 'Start Date' column header is highlighted with a red box.

Process	Workflow	Created By	Start Date	End Date
Request for Approval of MFR XXX 2007 MY Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 5, 2006	Sep 5, 2006
Test Approval of MFR XXX Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006
Test for MFR XXX Application Byron	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006
Label 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Sorry, new changes please review	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Testing notification system -- PDF Warranty doc	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Testing notification to back-up person	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 11, 2006
test delegate 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006
test2 wo delegate	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006

Figure 7- 13 Workflow Processes Sorted by “Process Name”

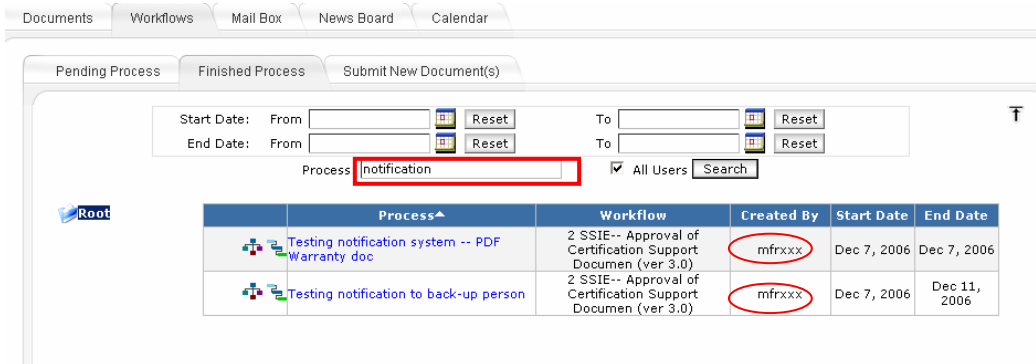


The screenshot shows the ARB DMS interface with the 'Pending Process' tab selected. The workflow processes are sorted by 'Process Name'. The 'Process' column header is highlighted with a red box.

Process	Workflow	Created By	Start Date	End Date
Label 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Request for Approval of MFR XXX 2007 MY Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 5, 2006	Sep 5, 2006
Sorry, new changes please review	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Test Approval of MFR XXX Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006
Test for MFR XXX Application Byron	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006
Testing notification system -- PDF Warranty doc	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Testing notification to back-up person	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 11, 2006
test delegate 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006
test2 wo delegate	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006

You also can narrow down the list of processes through searching a process by “**Start Date**” or “**End Date**”, or by typing the entire or partial process name. **Figure 7-14** illustrates how the system can search and filter out the processes with their name including the word “notification”. Also, notice that the user-id is now displayed instead of the user name

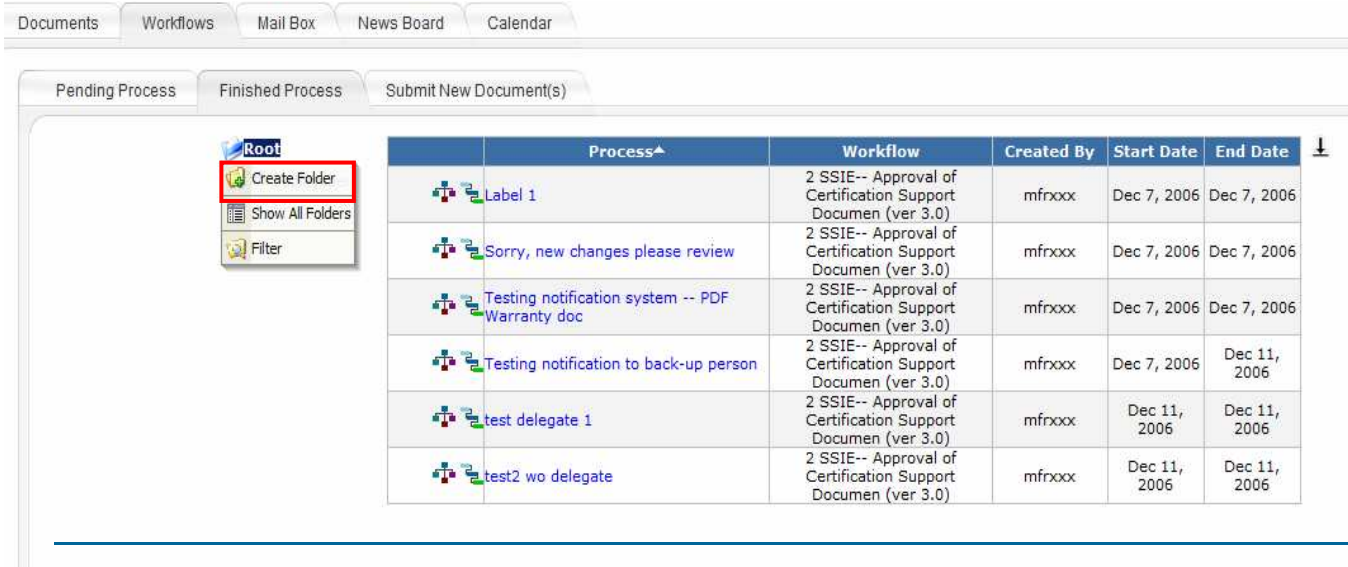
Figure 7- 14 Use of Workflow Process Search Filters to Narrow Down the List

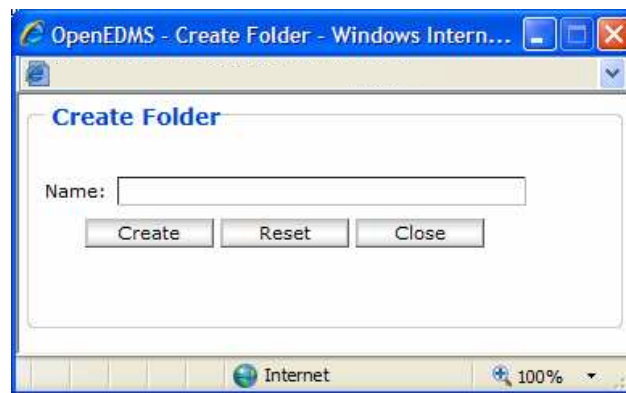


7.6 FINISHED PROCESSES CAN BE ORGANIZED IN FOLDERS

The new version allows you to create folders to organize the “**Finished Processes**”. To create a folder, left click on the root icon, then select “**Create Folder**” and type a folder name as illustrated on **Figure 7-15**. Please be aware that *the work flow folders are only visible on the screen of the user who created them*. They become part of the user profile.

Figure 7- 15 Creating a Folder to Organize “Finished” Processes





To organize the finished processes, highlight the processes name that you want to move and drag it to the folder where you want to store it. **Figures 7-16 and 7-17** illustrate the result of organizing the processes by the month when they were completed.

Figure 7- 16 The Root Directory Containing the Workflow Processes Finished in December

Documents Workflows Mail Box News Board Calendar

Pending Process Finished Process Submit New Document(s)

Start Date: From [] [Reset] To [] [Reset]
 End Date: From [] [Reset] To [] [Reset]

Process: [] ☒ All Users Search

Root

September

Process	Workflow	Created By	Start Date	End Date
Label 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Sorry, new changes please review	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Testing notification system -- PDF Warranty doc	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 7, 2006
Testing notification to back-up person	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 7, 2006	Dec 11, 2006
test delegate 1	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006
test2 wo delegate	2 SSIE-- Approval of Certification Support Documen (ver 3.0)	mfrxxx	Dec 11, 2006	Dec 11, 2006

Figure 7- 17 The September Folder Containing the Workflow Processes Finished in September

DocumentsWorkflowsMail BoxNews BoardCalendar

Pending ProcessFinished ProcessSubmit New Document(s)

Start Date: From ToReset

End Date: From ToReset

Process: All Users Search

RootSeptember

Process	Workflow	Created By	Start Date	End Date
Request for Approval of MFR XXX 2007 MY Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 5, 2006	Sep 5, 2006
Test Approval of MFR XXX Application	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006
Test for MFR XXX Application Byron	Test--SIME--Approval of Certification Application (ver 6.0)	mfrxxx	Sep 6, 2006	Sep 6, 2006

8. DISCLAIMER

8. DISCLAIMER

The ARB shall not be responsible for any errors or omissions in the information provided, and reserves the right to make changes without notice. The contents of the CERTDMS do not necessarily reflect the views and policies of the ARB, nor does any mention of trade names or commercial products constitute endorsement or recommendation of use. The user assumes full responsibility for the files he/she uploads and/or downloads and/or views including data destroyed by viruses or other computer initiated problems. Neither the ARB nor any of its respective employees warrant that the service will be uninterrupted or error free.

The ARB and State of California will not be liable for special, indirect, consequential, or incidental damages, or damages for lost profits, loss of revenue, or loss of use, arising out of or related to the CERTDMS or the information contained in it, whether such damages arise in contract, negligence, tort, under statute, in equity, at law or otherwise. Portions of CERTDMS manual have been reprinted with the permission of Altimate Systems Inc. from their OpenEDMS User Guide, Version 2.7, 2005.

9. REFERENCES

9. REFERENCES

- Altimate Systems Staff, *OpenEDMS User Guide, Version 2.7*, Altimate Systems Inc., 2005.
- *OpenEDMS User Guide, Version 4*, Altimate Systems Inc., 2006.

APPENDIX A. **ARB's Guidance On** **Electronic File Naming Convention** **for ARB DMS**

Table A-1 – File Naming Convention for On-Road Light/Medium-Duty Vehicles/Trucks

An ARB document file name consists of three sections as shown below:

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

<u>Section 1</u> Confidentiality (3 characters + underscore)	<u>Section 2</u> Applicability (12 characters + underscore)	<u>Section 3</u> Information Type (7 characters + underscore)
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • ⁽¹⁾XXXXX_COMMON_: any Common Information submittals • ⁽²⁾XXXX_CORRESP_: Correspondence • Test Group Name_: an individual Test Group related file • Evaporative Family Name_: an individual evaporative family related file <p><i>Note:</i> ⁽¹⁾ "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code" ⁽²⁾ "XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR code"</p>	Application for Certification
		<ul style="list-style-type: none"> • APIPT1_: Initial Part 1 Application submittal • APIPT2_: Initial Part 2 Application submittal • APPFPT1_: Final Part 1 Application submittal • APPFPT2_: Final Part 2 Application submittal • APPUPT1_: Update Part 1 Application submittal • APPRCnn_: Running change • APPFFnn_: Field fix (Where nn= 01 ~99 in numerical order)
		Other Stand Alone Documents (To be updated as needed) <u>Request for Approval (RFA*⁽³⁾):</u> <ul style="list-style-type: none"> • RFA*LAB_: label content • RFA*DFP_: durability plan • RFA*PL2_: LEV2 phase-in plan • RFA*MTP_: Modified Test Procedure • RFA*NMG_: NMOG Fleet Average Compliance Plan • RFA*WAR_: Warranty Statement • RFA*SFP_: Supplemental FTP • RFA*TPF_: Functional Test Plan • RFA*EVP_: Evaporative Plan <u>Correspondence (LTR*⁽³⁾)</u> <ul style="list-style-type: none"> • LTR*CPP_: Certification Preview Plan <u>Compliance Reports (CR#*⁽³⁾⁽⁴⁾):</u> <ul style="list-style-type: none"> • CR#*PDR_: Quarterly Production report • CR#*NMG_: NMOG report • CR#*VEC_: Vehicle Equivalent report • CR#*FEE_: Certification fee report • CR#*SER_: Service Manual • CR#*WAR_: Warranty Statement <p><i>Note:</i> ⁽³⁾ "*" alphanumeric (1,2,3... or A,B,C,...) ⁽⁴⁾ "#" should be 0, 1, 2, 3,... etc. represents Report No.1 or first quarter, Report No.2 or second quarter,....</p>

Table A-2 — File Naming Convention for On-Road Heavy-Duty Vehicles/Engines

An ARB document file name consists of three sections as shown below:

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

Section 1 Confidentiality (3 characters + underscore)	Section 2 Applicability (12 characters + underscore)	Section 3 Information Type (7 characters + underscore)
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • ⁽¹⁾XXXXX_CORRES_: Correspondence • ⁽²⁾XXXXXyyyyyZZZ_: any related engine family information submittals • ⁽³⁾XXXXX_COMMON_: any Common Information submittals • ⁽⁴⁾Evaporative Family Name_: an individual evaporative family related file <p><i>Note:</i></p> <p>⁽¹⁾ "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p>⁽²⁾ "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"; "yyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator</p> <p>⁽³⁾ "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code"</p> <p>⁽⁴⁾ "XXXXE" to be used for evaporative family and are the first five characters of the mfr's evaporative family name, it consists of "model year + EPA MFR code + Evaporative category code"</p>	<p>Application for Certification</p> <ul style="list-style-type: none"> • APP_INI_: Initial Application submittal • APP_Cnn_: Running change • APP_Fnn_: Field fix (Where nn= 01 ~99 in numerical order) • CPPXXXX_: Certification Preview Plan (Where XXXX= model year)
		<p>Other Standalone Documents (To be updated as needed)</p> <p><u>Request for Approval (RFA*⁽⁵⁾):</u></p> <ul style="list-style-type: none"> • RFA*LAB_: label content • RFA*DFP_: durability plan • RFA*PHS_: phase-in plan • RFA*STP_: Special Test Procedure • RFA*NTE_: Not_to_Exceed request • RFA*WAR_: Warranty Statement • RFA*OBD_: On-Board Diagnostics • RFA*TRM_: Tamper Resistance method • RFA*ABT_: Averaging, Banking, Trading Plan • RFA*ACD_: Auxiliary Emission Control Device document
		<p><u>Correspondence (LTR*⁽⁵⁾):</u></p> <ul style="list-style-type: none"> • LTR*CPP_: Certification Preview Plan
		<p><u>Compliance Reports (CR#*⁽⁵⁾⁽⁶⁾):</u></p> <ul style="list-style-type: none"> • CR#*PDR_: Production report • CR#*FLT_: Fleet Average report • CR#*PHS_: Phase-in Compliance report • CR#* FEE_: Certification fee report • CR#*SER_: Service Manual • CR#*ABT_: Averaging Banking Trading Summary <p><i>Note:</i></p> <p>⁽⁵⁾ "*" alphanumeric (1,2,3... or A,B,C,...)</p> <p>⁽⁶⁾ "#" should be 0, 1, 2, 3,... etc. represents Report No.1 or first quarter, Report No.2 or second quarter, ...; for end of year summary report "#" should be 9</p>

Table A-3 — File Naming Convention for On-Road and Off-Road Motorcycle and ATVs

A document file name consists of four sections as shown below:

Confidentiality_ Applicability_ Information Type_ Version Indicator. EXT

Each section has elements as listed in the following table:

<u>Section 1</u> Confidentiality (3 characters + underscore)	<u>Section 2</u> Applicability (12 characters + underscore)	<u>Section 3</u> Information Type (7 characters + underscore)	<u>Section 4</u> Version Indicator ⁽⁵⁾ (3 characters)
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file in which the manufacturer removes confidential information from a CBI file so it is readily releasable to the public after vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • Engine Family Name_: an individual engine family related file • ⁽¹⁾XXXXX_COMMON_: any Common Information submittals • ⁽²⁾XXXXARB_RED_: California Red Sticker vehicles • Evaporative Family Name_: an individual evaporative family related file <p><i>Note:</i> ⁽¹⁾ "XXXXX" is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle category code" ⁽²⁾ "XXXX" is the first four characters of an EF name, e.g. "model year + EPA MFR code"</p>	<div style="background-color: yellow; text-align: center; padding: 2px;">Application for Certification</div> <ul style="list-style-type: none"> • APP_INI_: Initial Application submittal • APP_FIN_: Final Application submittal • APP_Cnn_: application running change • APP_Fnn_: application field fix (Where nn= 01 ~99 in numerical order) <div style="background-color: yellow; text-align: center; padding: 2px;">Other Standalone Documents (To be updated as needed)</div> <p><u>Request for Approval (RFA*⁽³⁾):</u></p> <ul style="list-style-type: none"> • RFA* LAB_: label content • RFA*DFP_: durability plan • RFA*CAP_: Corp. Ave. plan • RFA*PLT_: Production Line Testing Plan • RFA*STP_: Special Test Procedure • RFA*ABT_: Averaging, Banking , Trading Plan • RFA*WAR_: Warranty Statement • RFA*FTP_: Functional Test Plan • RFE*PHS_: Phase In Plan <p><u>Correspondence (LTR*⁽³⁾):</u></p> <ul style="list-style-type: none"> • LTR*LOI_: Letter of Intent <p><u>Compliance Reports (CR#*⁽³⁾⁽⁴⁾):</u></p> <ul style="list-style-type: none"> • CR#*DRE_: Defect report • CR#*PDR_: Production report • CR#*ABT_: ABT report • CR#*PLT_: Production Line Test report • CR#*VIN_: Vehicle VIN report • CR#* CAR_: Corporate Averaging report • CR#*VER_: Voluntary emission recall report • CR#*QTR_: Quarterly Production Report (ARB only) <p><i>Note:</i> ⁽³⁾ "*" alphanumeric (1,2,3... or A,B,C,...) ⁽⁴⁾ "#" should be 0, 1, 2, 3,... etc. represents Report No.1 or first quarter, Report No.2 or second quarter, ...</p>	<ul style="list-style-type: none"> • R00: original • R01: 1st revision • R02: 2nd revision • R03 etc. <p><i>Note:</i> ⁽⁵⁾ EPA ONLY Do not include version indicator for ARB</p>

Table A-4 — File Naming Convention for Off-Road Documents (Revised on 3/15/07)

An ARB document file name consists of three sections as shown below:

Confidentiality_ Applicability_ Information Type. EXT

Each section has elements as listed in the following table:

<p><u>Section 1</u> Confidentiality (3 characters + underscore)</p>	<p><u>Section 2</u> Applicability (12 characters + underscore)</p>	<p><u>Section 3</u> Information Type (7 characters + underscore)</p>
<ul style="list-style-type: none"> • CBI_: a confidential file that will not be released to the public • FOI_: a non-confidential file after removing confidential information from a CBI file so that it is readily releasable to the public after your vehicles/engines are introduced into commerce 	<ul style="list-style-type: none"> • ⁽¹⁾XXXXXyyyyyZZZ_: any related engine family information submittals • ⁽²⁾XXXXX_COMMON_: any Common Information submittals • ⁽³⁾XXXXEyyZZZZ_: Individual evaporative family related file for California SORE. <p>Note:</p> <p>⁽¹⁾ XXXXX is the first five characters of a mfr's engine family name, it consists of "model year + EPA MFR code + vehicle/engine category code"; "yyyy" is the engine displacement in liters; "ZZZ" is the manufacturer's own engine family designator (for SSIE, the first "Z" is the class code and the remaining "ZZ" is the manufacturer's own engine family designator).</p> <p>⁽²⁾ "XXXXX" is the first five characters of an EF name, e.g. "model year + EPA MFR code + vehicle/engine category code"</p> <p>⁽³⁾ "XXXXE" are the first five characters of the mfr's evaporative family name, it consists of "model year + EPA MFR code + Evaporative category code"; "yy" is the ARB evap/permeation code; "ZZZZZ" is the manufacturer's own evaporative family designator (this is meant to be a easy way of recognizing SSIE evap and is not meant to replace the 2 letter evap family code specified in TP-902, nor is it considered an EPA Family Name).</p>	<p>Application for Certification</p> <ul style="list-style-type: none"> • APP_CSS_: cert. summary Sheet (Marine & LSI Database Files Only) • APP_PRM_: primary application • APP_SUP_: supplemental application • APP_EPA_: EPA Application (Marine) • APP_FLX_: flexibility application (OFCI) • APP_Cnn_: application running change • APP_Fnn_: application field fix (Where nn= 01 ~99 in numerical order) <p>Other Standalone Documents (To be updated as needed)</p> <p>Request for Approval ("RFA*⁽⁴⁾"):</p> <ul style="list-style-type: none"> • RFA*LAB_: label content • RFA*DFP_: durability plan • RFA*PHS_: Phase In Plan • RFA*CAP_: Corp. Ave. plan • RFA*PLT_: Production Line Testing Plan • RFA*ATP_: Alternative Test Procedure • RFA*ABT_: Averaging, Banking, Trading Plan • RFA*WAR_: Warranty Statement • RFA*OBD_: On-Board Diagnostics • RFA*TRM_: Tamper-resistance • RFA*ACD_: Auxiliary Emission Control Device • RFA*ECA_: Engine Cooling (Auxiliary) • RFA*EVP_: Evaporative Plan • RFA*OTH_: Other document <p>Correspondence (LTR*⁽⁴⁾):</p> <ul style="list-style-type: none"> • LTR*LOI_: Letter of Intent • LTR*SOC_: statement of compliance • LTR*OTH_: Other letters and non-approval documents <p>Compliance Reports (CR#⁽⁵⁾):</p> <ul style="list-style-type: none"> • CR#*DRE_: Defect Report • CR#*ABT_: Averaging Banking Trading Summary • CR#*QTR_: Quarterly Production Report (ARB Only) • CR#*PLT_: Production Line Test report • CR#*PHS_: Phase-in Compliance Report • CR#*FLX_: Flexibility Engine Production Report (OFCI) <p>Note:</p> <p>⁽⁴⁾ "*" alphanumeric (A,B,C,etc... or 1,2,3,etc...)</p> <p>⁽⁵⁾ "#" should be 1,2,3... etc. Represents Report No. 1 for first quarter, Report No. 2 for second quarter, ...; for mid-year flexibility report "#" should be 6; for end of year summary report "#" should be 9.</p>

APPENDIX B. **Document Types and Metadata** **for ARB DMS**

Table B-1 — Document Types and Associated Metadata for On-Road Light Duty Category

Document Type	Description	Metadata Name	Valid Values
LD FOIA Certification Application-Common Section	Common Section of Certification Application FOIA Version	Manufacturer	
		Model Year	
		Application Type	Part 1 Part 2
		Vehicle Class	PC PC/LDT LDT MDV
		Upload Date	
LD FOIA TG Certification Application-TG Specific	Specific Test Group Application for Certification FOIA Version	Manufacturer	
		Model Year	
		Test Group	
		Application Type	Part 1 Part 2 Field Fix Running Change
		Vehicle Class	PC PC/LDT LDT MDV
		Upload Date	
LD CBI Certification Application-Common Section	Common Section of Certification Application CBI Version	Manufacturer	
		Model Year	
		Application Type	Initial Part 1 Update Part 1 Final Part 1 Initial Part 2 Update Part 2 Final Part 2
		Vehicle Class	PC PC/LDT LDT MDV
		Upload Date	
LD CBI TG Certification Application-TG Specific	Specific Test Group Application for Certification CBI Version	Manufacturer	
		Model Year	
		Test Group	
		Application Type	Initial Part 1 Update Part 1 Final Part 1 Initial Part 2 Final Part 2 Running Change Field Fix Cert. of Conformity
		Vehicle Class	PC PC/LDT LDT MDV
		Upload Date	

**Table B-1 — Document Types and Associated Metadata for On-Road Light Duty Category
(Cont.)**

Document Type	Description	Metadata Name	Valid Values
Letters/Submittals	Letters Submitted by ARB/MFR	Manufacturer	
		Model Year	
		Document Type	ARB Authored Letters MFR Authored Letters OBD2 Approval Signed EO
		Upload Date	
Certification Preview Plan (CPP)	Certification Preview Plan	Manufacturer	
		Model Year	
		Document Type	CPP
		Upload Date	
LD Correspondence	Manufacturer Correspondence	Manufacturer	
		Model Year	
		Upload Date	
		Correspondence Type	Evap Exhaust Durability SFTP OBD Misc Emails
Reports (Post Cert)	Periodic Reports Submitted by Manufacturer	Manufacturer	
		Report Type	Quarterly Prod. Report NMOG/VEC Report Cert Fee Document Year End Production Report Assembly Line Procedure/Functional Test Plan Title 13 Phase-in Plans
		Upload Date	
		Model Year	
Publications (Post Cert)	Publications (i.e. service manuals, owners manuals, warranty books, etc.)	Manufacturer	
		Publication Type	Warranty Manual Owners Manual Service Manual TSB
		Publication Date	
		Model Year	
		Model(s)	

Table B-2 — Document Types and Associated Metadata for On-Road Motorcycle Category

Document Type	Description	Metadata Name	Valid Values
Complete CBI -Common Section	Common Section of Certification Application CBI Version	Manufacturer	
		Model Year	
		Common Info Type	CAP Common Section Letter of Intent Warranty
		Vehicle Class	Compliant ATV Compliant OFMC HMC Non-Compliant ATV Non-Compliant OFMC eGC
		Submission Date	
Complete CBI –Application Engine Family Specific	Initial/Update application for Certification for a Specific Engine Family	Manufacturer	
		Model Year	
		Application Type	Field Fix Running Change Initial/Update Application
		Engine Family	
		Vehicle Class	Compliant ATV Compliant OFMC HMC Non-Compliant ATV Non-Compliant OFMC eGC
		Submission Date	
Correspondence	General manufacturer correspondence not related to a particular engine family	Manufacturer	
		Model Year	
		Vehicle Class	Compliant ATV Compliant OFMC HMC Non-Compliant ATV Non-Compliant OFMC eGC
		Submission Date	
FOIA Common Section	Common Section Information submitted with non-confidential information	Manufacturer	
		Model Year	
		Info Type	Common Section
		Vehicle Class	Compliant ATV Compliant OFMC HMC Non-Complaint ATV Non-Compliant OFMC eGC
		Submission Date	

**Table B-2 — Document Types and Associated Metadata for On-Road Motorcycle Category
(Cont.)**

Document Type	Description	Metadata Name	Valid Values
FOIA Application	Engine Family specific applications submitted with non-confidential items	Manufacturer	
		Model Year	
		Engine Family	
		Application Type	Field Fix
			Running Change
			Initial/Update Application
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Complaint ATV
Reports (Post Cert)	Periodic Reports Submitted by Manufacturer		Non-Compliant OFMC
			eGC
		Submission Date	
		Manufacturer	
		Model Year	
		Report Type	Cert Fee Document
			Quarterly Prod. Report
			Vin Report
		Vehicle Class	Compliant ATV
			Compliant OFMC
Publications (Post Cert)	Publications (i.e. service manuals, owners manuals, warranty books, etc.)		HMC
			Non-Complaint ATV
			Non-Compliant OFMC
			eGC
		Submission Date	
		Manufacturer	
		Model Year	
		Publication Type	Warranty Manual
			Owners Manual
			Service Manual
			TSB
			Set-up Assembly (MC) Procedure
		Vehicle Class	Compliant ATV
			Compliant OFMC
			HMC
			Non-Complaint ATV
			Non-Compliant OFMC
			eGC
		Submission Date	

Table B-3 — Document Types and Associated Metadata for Heavy-Duty Category

Document Type	Description	Metadata Name	Valid Values
CBI – Certification Application	CBI – Application for Certification – HD Engine Family Specific	Manufacturer	
		Model Year	
		Engine or Evaporative	
		Vehicle Class	CA_MDE
			CA_MDEV
			HDE
			HDH
			HDV
		Submittal Type	AECD-Auxiliary Emission Control Devices
			After Treatment Devices Tech Description
			Application
			Compliance Statement
			Cover Letter
			DF Test Plan
			EPA CofC
			Field Fix
			Idling Compliance
			Label
			NTE Declaration
			OBD/EMD
			Running Change
			Tamper Resistance
			UAF/DAF
		Upload Date	
Certification Preview Plan (CPP)	Certification Preview Plan (CPP) Material	Manufacturer	
		Submittal Type	CPP Material
			Phase In
			Summary ABT Plan
			Summary Phase-In Plan
Common Material	Application Common Information	Plan Date	
		Upload Date	
		Manufacturer	
		Model Year	
		Submittal Type	ABT Plan
			After treatment Devices Tech Description
			Compliance Statement
			DF Test Plan
			Delegated Assembly Document
			Evaporative
			General Technical Description

Table B-3 – Document Types and Associated Metadata for Heavy-Duty Category (Cont.)

Document Type	Description	Metadata Name	Valid Values
			Idling Compliance Label
			OBD/EMD
			Phase-In Plan
			Tamper Resistance
			UAF/DAF
			Warranty
		Vehicle Class	CA_MDE
			CA_MDEV
			HDE
			HDH
			HDV
		Upload Date	
Correspondence	Manufacturer general correspondence	Manufacturer	
		Subject	Approval Date
			OBD/EMD
			Request for Approval
			Signed Letter of Authorization
		Correspondence Date	
		Submission Date	
FOIA-Certification Application	FOIA – Application for Certification –(public accessible/non-confidential)	Manufacturer	
		Model Year	
		Engine or Evaporative	
		Vehicle Class	CA_MDE
			CA_MDEV
			HDE
			HDH
			HDV
		Submittal Type	AECD-Auxiliary Emission Control Devices
			After Treatment Devices Tech Description
			Application
			Compliance Statement
			Cover Letter
			DF Test Plan
			Field Fix
			Idling Compliance
			Label
			NTE Declaration
			OBD/EMD
			Running Change

Table B-3 — Document Types and Associated Metadata for Heavy-Duty Category (Cont.)

Document Type	Description	Metadata Name	Valid Values
		Submittal Type (Cont.)	Tamper Resistance
			UAF/DAF
		Upload Date	
Publications	Publications (i.e. service manuals, owners manual, etc.)	Manufacturer	Body Builder's Guide
		Publication Type	Owner Manual
			Service Manual
			TSB
			Warranty Manual
		Publication Date	
		Model Year	
Reports	Periodic reports submitted by manufacturers	Model(s)	
		Manufacturer	
		Report Type	ABT Annual Report
			ABT Quarterly Report
			Cert Fee Production Report
			Phase-In Compliance Report
		Upload Date	
		Model Year	

Table B-4 — Off-Road Document Types and Associated Metadata (Revised on 3/16/07)

Document Type	Description	Metadata Name	Valid Value
ABT Report	Manufacturers Averaging, Banking, and Trading (ABT) Initial, End-of-Year, and Final Reports	Manufacturer	Text
		Model Year	Number
		Approval Num	Text
		Category	SSIE/LSIE/OFCI/SIME
		Report Type	Initial/End-of-year/Final
		Upload Date	File ID
		Cert. Type	Selection (Exhaust/Evap)
Alternate Test Procedure	Special Test Procedures used by the engine manufacturer Engine Family or Common	Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Cert. Type	Selection (Exhaust/Evap)
Application	The Manufacturer's application for Certification. SSIE & OFCI: Engine Family SIME & LSIE: Engine Family or Common	Manufacturer	Text
		Upload Date	File ID
		Model Year	Number
		Family Name	Text
		EO Number	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Status	Selection (New/Correction)
		Cert. Type	Selection (Exhaust/Evap/OFCI-Flex)
Authorization Letters	Letters Submitted to ARB designating the official manufacturer certification representative, who will be the accountable party, and letters indicating that all electronic signatures are legally binding.	Manufacturer	Text
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Subject	Selection (Cert Rep/e-signature/accountability)
		Model Year	Number
Auxiliary Emission Control Devices (AECD)	Manufacturers Documents related to Emission Control Devices Engine Family or Common	Manufacturer	Text
		Model Year	Number
		Family Name	Text
		Approval Num	Text
		Device Type	Selection (Mechanical/ECM/PCM)
		Control Type	Selection (Idle/Full Throttle/Intermediate/all/Other)
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Upload Date	File ID
Auxiliary Engine Cooling (SORE)	Information relating to Engines' Auxiliary Cooling method Engine Family or Common	Manufacturer	Text
		Upload Date	File ID
		Cool method	Selection (AC/Blower/Fan/NA/Other)
		Approval Num	Text
Corporate Average Plan	Plans used by manufacturers who participate in the Averaging, Banking, and Trading (ABT) program. Common	Manufacturer	Text
		Model Year	Number
		Credit Type	Selection (Credit/Debit)
		Trading	Selection (Yes/No)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Approval Num	Text
		Cert Type	Selection (Exhaust/Evap)
Correspondence	Letters sent to ARB from the Manufacturer and letters sent to the Manufacturer from ARB. Engine Family or Common	Manufacturer	Text
		Upload Date	File ID
		Model Year	Number
		Subject	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Correspondence Type	Selection (ARB Letter/Mfr Letter/Email/LOI/SOC)

Table B-4 — Off-Road Document Types and Associated Metadata (Cont.) (Revised on 3/16/07)

Document Type	Description	Metadata Name	Valid Value
EPA Certificate of Conformity	The U.S. EPA's Certificate of conformity which authorizes the manufacturers to sell in the other 49 states. <i>Engine Family</i>	Manufacturer	Text
		Model Year	Number
		Cert Number	Text
		Effective Date	Date
		Issue Date	Date
		FEL	Selection (Yes/No)
		Family Name	Text
Emission Durability Plan	Emission Durability Test Plans <i>Engine Family or Common</i>	Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		DF Hours	Number
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Emission Type	Selection (Exhaust/Evap)
Emission Label Format	Format that the manufacturer intends to use for its emission labels <i>Engine Family or Common</i>	Manufacturer	Text
		Upload Date	File ID
		Family Name	Text
		Approval Num	Text
		Label Type	Selection (Engine/Equipment/Air Index/Other)
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Cert Type	Selection (Exhaust/Evap/Combined)
Emission Warranty Statement	The warranty statement that the manufacturer submits <i>Engine Family or Common</i>	Manufacturer	Text
		Upload Date	File ID
		Family Name	Text
		Approval Num	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Warranty Type	Selection (Exhaust/Evap/Combined)
Flexibility Engine Reports (OFCI)	Mid-Year and End-Year Production Reports of Off-Road Compression Ignition (OFCI) Flexibility Engines.	Manufacturer	Text
		Upload Date	File ID
		Executive Order	Text
		Model Year	Number
		Report Type	Selection (Mid-Year (6 month)/End of Year)
Internal Document	Documents used and distributed by ARB staff and strictly for ARB internal use.	Upload Date	File ID
		Type	Selection (Letter/Email/Mailout/MAC/Other)
		Subject	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)
NECT/SEA Documents	Documentation sent and received from ARBs New Engine Compliance Testing (NECT) activities or EPAs Select Enforcement Auditing (SEA) activities.	Manufacturer	Text
		Model Year	Number
		Upload Date	File ID
		Test Cycle	Selection (Steady-State/Transient)
		Test Pollutant 1	Selection (HC/NOx/HC+NOx/CO/PM/All)
		Test Pollutant 2	Selection (HC/NOx/HC+NOx/CO/PM/All)
		Test Pollutant 3	Selection (HC/NOx/HC+NOx/CO/PM/All)
		Test Result	Selection (Pass/Fail)
Onboard Diagnostics (OBD) (Marine)	Onboard Diagnostics information <i>Engine Family or Common</i>	Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		Cert Type	Selection (Exhaust/Evap)
Other	Any Additional Documents that Manufacturers need to submit <i>Engine Family or Common</i>	Manufacturer	Text
		Upload Date	File ID
		Applicable	Selection (Engine Family/Evap Family/Combined)
		Family Name	Text

Table B-4 — Off-Road Document Types and Associated Metadata (Cont.) (Revised on 3/16/07)

PLT Report	Manufacturers Production Line Testing (PLT) Quarterly and End-of-year reports Common Note: Does not apply to Evap or OFCI	Manufacturer	Text
		Model Year	Number
		Approval Num	Text
		Plan Type	Selection (1%/CumSum)
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		Report Type	Selection (Quarterly/End-of-year)
		Upload Date	File ID
		Family Name	Text

Table B-4 — Off-Road Document Types and Associated Metadata (Cont.) (Revised on 2/13/06)

Document Type	Description	Metadata Name	Valid Value
PLT Sampling Plan	Production Line Testing sample plan submitted by manufacturers prior to production. <i>Common</i> <i>Note: Does not apply to Evap of OFCI</i>	Manufacturer	Text
		Model Year	Number
		Approval Num	Text
		Plan Type	Selection(1%/CumSum)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
Phase-In Plan	Plans used by manufacturers to outline their intentions to meet new regulations or production requirements. <i>Common</i>	Manufacturer	Text
		Model Year	Number
		Credit Type	Selection(Credit/Debit)
		Trading	Selection (Yes/No)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
Running Change	Supporting documents related to changes made to engine family after the engine has been certified. <i>Engine Family</i>	Approval Num	Text
		Phsin Months	Number
		Manufacturer	Text
		Model Year	Number
		Family Name	Text
		EO Number	Text
Tamper Resistance	Manufacturers documents related to their meeting tamper resistance requirements <i>Engine Family or Common</i> <i>Note: Does not apply to evap</i>	Change Made	Selection (ECS, Model, Part, Corrections, Other)
		Upload Date	File ID
		Category	Selection (SSIE/LSIE/OFCI/SIME)
		New EO Num	Text
		Cert Type	Selection (Exhaust/Evap)
		Manufacturer	Text
		Upload Date	File ID
		Approval Num	Text
		Parts Mfr	Text
		Category	Selection (SSIE/LSIE/OFCI/SIME)

APPENDIX C.

DMS Workflow Process

Naming Convention

C.1 On-Road Certification Categories

For Applications:

MY_CBI(or)FOI_TG Name_Type of Submittal

(follow rules from file naming convention)

Examples of Types of Submittals

- **APPIPT1 – Initial Application**
- **APPRCnn_EO (Running Change with EO)**
- **APPRCnn (Running Change without EO)**

For Supporting Documents:

MY_CBI(or)FOI _ MFR Code_ Type of Submittal_nn

(where nn = 01 – 99)

Examples of Types of Submittals

- **Common Section**
- **Certification Preview Plan (CPP)**
- **Correspondence Type**
 - Durability
 - Emails
 - Evaporative
 - Exhaust
 - Misc
 - SFTP
- **Publication Type**
 - Owners Manual
 - Service Manual
 - TSB
 - Warranty Manual
- **Report Type**
 - Assembly Line Test Plan
 - Cert Fee Document
 - NMOG-VEC Reports
 - Phase-In Reports
 - Quality Audit Production
 - Title 13
 - Year End Report

Single Applications:

Engine Family (EF) Name_Sub Category¹_Sumbission Type²_App

Examples of Types of Submittals

7MFRM.123ABC_OUTBD_New_App

Applications Grouped in one workflow process or Grouped Families (GF):

First 5 EF Chars.GF_Sub Category¹_Sumbission Type²_App

Examples of Types of Submittals

7MFRM.GF_OUTBD_R/C_App

Support Documents:

Category¹_Model Year_ARB Mfr Code_Document Type³

Examples of Types of Submittals

SIME_2007_AMFR_CAP

PLT/ABT Reports:

Calender Quarter_Category_ARB Mfr. Code_PLT/ABT Reports

Examples of Types of Submittals

07Q1_SIME_AMFR_PLT Reports

(1) Categories and Sub-Categories:

SSIE

Exh <50 = Exhaust less than 50cc
Exh 50-80 = Exhaust 50cc to 80cc inclusive
Exh 80-225 = Exhaust 80cc to 225 cc
Exh >225 = Exhaust greater than or equal to 225cc
Evp <80 = Evaporative less than 80cc
EvpWB 80-225 = Evaporative Walk-Behind Mowers 80cc to 225cc
Evp 80-225 = Evaporative Non Walk-Behind Mowers 80cc to 225cc
Evp >225cc = Evaporative Greater than or equal to 225cc
Cmbd = Combined Exhaust and Evaporative applications (typically less than 80cc)

SIME

INBD = Inboard
STRN = Sterndrive
INBST = Inboard Sterndrive
OUTBD = Outboard
PWC = Personal Watercraft

LSIE

GT1L = Greater than 1 Liter
LT1L = Less than 1 Liter

OFCI

Pwr <8 = Power less than 8 kW
Pwr 8-19 = Power \geq 8 kW and <19 kW
Pwr 19-37 = Power \geq 19 kW and <37 kW
Pwr 37-56 = Power \geq 37 kW and <56 kW
Pwr 56-75 = Power \geq 56 kW and <75 kW
Pwr 75-130 = Power \geq 75 kW and <130 kW
Pwr 130-225 = Power \geq 130 kW and <225 kW
Pwr 225-450 = Power \geq 225 kW and <450 kW
Pwr 450-560 = Power \geq 450 kW and \leq 560 kW
PwrMM >560 = Power of Mobile Machines greater than 560 kW
PwrGEN 560-900 = Power of Generators >560 kW and \leq 900 kW
PwrGEN >900 = Power of Generators greater than 900 kW

(2) Submission Type:

New = New Submission
R/C = Running Change
F/F = Field Fix
FEL = FEL Change

(3) Document Type:

See the file naming convention document for a list of document type codes.